

City of Garden Grove

Action Plan

for the Use of HUD Funds

July 1, 2021 – June 30, 2022

Prepared by the Community and Economic Development
Department of the City of Garden Grove

Draft

for Public Review
from March 26, 2021 through April 27, 2021



CITY OF GARDEN GROVE

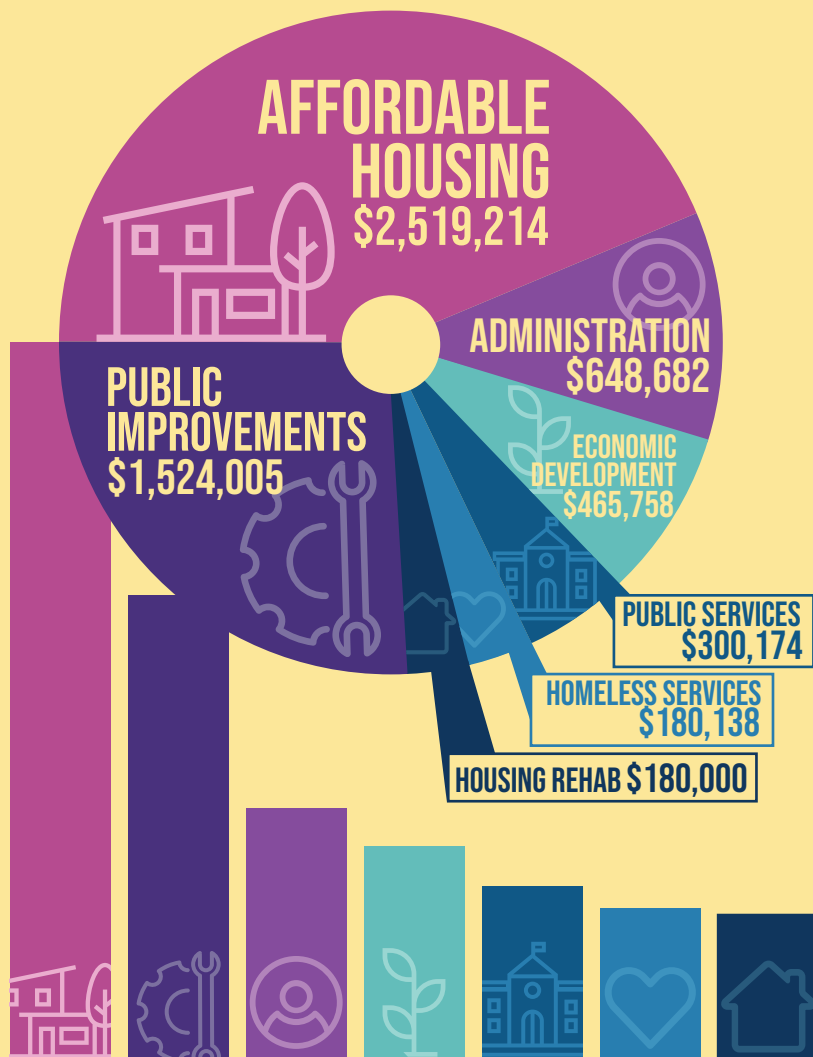
2021-22 ANNUAL ACTION PLAN

GARDEN GROVE

Performance Period: July 1, 2021 – June 30, 2022

2021 PROJECTED FUNDING

During FY 2021-22, the City of Garden Grove is projecting to utilize a total of **\$5,817,971** in HUD grant funds to benefit low/moderate income residents through a variety of programs and services.



HUD ENTITLEMENT FUNDS

The City of Garden Grove is an administrative authority for the U.S. Department of Housing and Urban Development's (HUD) Community Development Block Grant (CDBG), HOME Investment Partnership (HOME), and Emergency Solutions Grant (ESG) allocations.

\$2,870,170 in CDBG funding will be programmed to benefit low/moderate income residents, through housing rehabilitation, senior services, fair housing activities, infrastructure improvements, and gang suppression activities.

\$2,767,663 in HOME funding will be used to develop affordable housing and provide rental assistance to low-income households.

\$180,138 in ESG funding will be used to provide homeless services through street outreach, emergency shelter, homeless prevention, and rapid rehousing.

CDBG and ESG CARES ACT FUNDING will continue to be programmed to provide supportive services to those affected by the Coronavirus (COVID-19).



UNDUPLICATED
PERSONS SERVED



HOUSING
REHABILITATED



COMMUNITY
OUTREACH &
EDUCATION



HOMELESS
ASSISTANCE



FAIR HOUSING
SERVICES



MEALS PROVIDED



To view the full Annual Action Plan, visit: ggcity.org/neighborhood-improvement/reports
Contact Timothy Throne, Program Specialist, at (714) 741-5144 or timothyt@ggcity.org for more info.

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Executive Summary

AP-05 Executive Summary - 24 CFR 91.200(c), 91.220(b)

1. Introduction

The Consolidated Plan/Annual Action Plan

The City of Garden Grove 2020-2025 Consolidated Plan is a planning document that identifies and develops a strategy to address critical housing and community development needs that can be addressed through federal funding sources including Community Development Block Grants, HOME Investment Partnership Act funds, and Emergency Solutions Grants.

To implement the Consolidated Plan and address the adopted priorities, the City annually prepares an Action Plan to more specifically identify financial resources, priority programs and goals, as well as objectives for the fiscal year.

The Consolidated Plan and Action Plan were prepared using the eCon Planning Suite system developed by the U.S. Department of Housing and Urban Development (HUD). The system prescribes the structure and contents of this document, following HUD's Consolidated Planning regulations

This Action Plan covers the period beginning July 1, 2021 through June 30, 2022 and focuses on the use of the three federal funding resources (CDBG, HOME, and ESG) as described below.

Community Development Block Grants (CDBG): The primary objective of this program is to develop viable urban communities by providing decent housing, a suitable living environment, and economic opportunities, principally for persons of lower income. CDBG funds are relatively flexible and can be used for a wide range of activities, including housing rehabilitation, homeownership assistance, lead-based paint detection and removal, acquisition of land and buildings, construction or rehabilitation of public facilities (including infrastructure), removal of architectural barriers to housing needs, public services, rehabilitation of commercial or industrial buildings, and loans or grants to businesses. The City of Garden Grove's estimated annual entitlement of CDBG funds is **\$2,001,165**.

HOME Investment Partnership Act (HOME): The HOME program provides federal funds for the development and rehabilitation of affordable rental and ownership housing for low- and moderate-income households. The program gives local governments the flexibility to fund a wide range of affordable housing activities through housing partnerships with private industry and non-profit organizations. HOME funds can be used for activities that promote affordable rental housing and homeownership by low- and moderate-income households, including building acquisition, new construction and reconstruction, moderate or substantial rehabilitation, homebuyer assistance, and tenant-based rental assistance. The City of Garden Grove's estimated annual entitlement of HOME funds is **\$838,015**.

Emergency Solutions Grant (ESG): The ESG program provides homeless persons with basic shelter and essential supportive services, including rehabilitating or remodeling a building producing new shelter beds, operations and maintenance of a homeless facility, essential supportive services, and homeless prevention. The City of Garden Grove's estimated annual allocation of ESG funds is **\$173,143**.

2. Summarize the objectives and outcomes identified in the Plan

This could be a restatement of items or a table listed elsewhere in the plan or a reference to another location. It may also contain any essential items from the housing and homeless needs assessment, the housing market analysis or the strategic plan.

This Consolidated Plan has established the following objectives over the life of the Plan (Program Years 2020-2025):

- Expand the City's affordable housing inventory by 5 units through new construction of affordable units for lower income households and 10 units through acquisition/rehabilitation of affordable units for lower income households.
- Provide rehabilitation assistance to 200 single-family homes.
- Provide rental assistance to 134 very low- and extremely low-income households through the TBRA program.
- Assist 1,580 persons/households with homelessness-related issues.
- Assist 3,500 persons through the provision of community services.
- Create or retain approximately 20 jobs.
- Improve low-income neighborhoods through infrastructure and public improvement projects.

3. Evaluation of past performance

This is an evaluation of past performance that helped lead the grantee to choose its goals or projects.

The City of Garden Grove continually strives to improve its performance, as well as the performance of its funded agencies.

During FY 2020-21, the City estimates expending a total of **\$2,545,000** in HUD grant funds to meet the goals and objectives outlined in the 2020-2025 Consolidated Plan. The approximate expended amounts by grant are as follows:

- **\$2,000,000** in CDBG funds on administration, public services, capital projects, homeowner rehabilitation, and business assistance activities.
- **\$375,000** in HOME funds on administration and the development of affordable housing.

- **\$170,000** in ESG funds on administration and homeless service activities.

CDBG, HOME and ESG funds were targeted in four primary areas:

1. Development of decent and affordable housing;
2. Provision of community and supportive services;
3. Improvement of public facilities and infrastructure; and
4. Expansion of economic opportunities and anti-poverty activities.

The performance of programs and systems are evaluated on a regular basis through Consolidated Annual Performance and Evaluation Reports (CAPERs). A more detailed summary of the City's evaluation of past performance in previous Consolidated Annual Performance and Evaluation Reports (CAPERs) can be viewed on the City's website at <https://ggcity.org/neighborhood-improvement/reports>

4. Summary of Citizen Participation Process and consultation process

During its development, the Action Plan will be discussed in a publicly noticed NICC meeting where opportunity for public comment is provided. The draft plan will be made available for public review between **March 26, 2021 and April 27, 2021** on the City's website. Public hearings were held before the NICC on **April 26, 2021** and the City Council on **April 27, 2021** to solicit public comments on the Draft 2021-22 Action Plan. All meeting locations were accessible to persons with disabilities. The public review period and public meetings/hearings for the Draft 2021-22 Action Plan were published in the Orange County News (English), Viet Bao (Vietnamese) and Excelsior (Spanish) on **Friday, March 26, 2021**.

5. Summary of public comments

Please see Appendix A for summary of public comments.

6. Summary of comments or views not accepted and the reasons for not accepting them

N/A

7. Summary

The City of Garden Grove has undertaken diligent and good faith efforts to outreach to all segments of the community that may benefit from the CDBG, ESG, and HOME programs. The City of Garden Grove will continue to concentrate its resources for maximum impact and strive to address the needs, priorities, and goals identified in the 2020-2025 Consolidated Plan and the 2021-22 Action Plan.

PR-05 Lead & Responsible Agencies – 91.200(b)

1. Agency/entity responsible for preparing/administering the Consolidated Plan

Describe the agency/entity responsible for preparing the Consolidated Plan and those responsible for administration of each grant program and funding source.

Agency Role	Name	Department/Agency
CDBG Administrator	GARDEN GROVE	Community and Economic Development Department
HOME Administrator	GARDEN GROVE	Community and Economic Development Department
ESG Administrator	GARDEN GROVE	Community and Economic Development Department

Table 1 – Responsible Agencies

Narrative (optional)

The City's CDBG, HOME, and ESG programs are administered by the City of Garden Grove Community and Economic Development Department's Neighborhood Improvement Division.

Program Descriptions

The Community Development Block Grant (CDBG) program was initiated by the Housing and Community Development Act (HCDA) of 1974. The primary objective of the program is to develop viable urban communities by providing decent housing, a suitable living environment, and economic opportunities, principally for persons of low and moderate income. Regulations governing the CDBG program also require that each activity undertaken with CDBG funds meet one of the following three broad national objectives:

- Benefit low- and moderate-income persons
- Aid in the prevention or elimination of slums and blight
- Meet other community development needs having a particular urgency

The HOME Investment Partnership (HOME) program was created by the 1990 National Affordable Housing Act. The HOME program provides federal funds for the development and rehabilitation of affordable rental and ownership housing for low- and moderate-income households, replacing a series of programs previously funded by HUD. The program gives the grantee flexibility to fund a wide range of affordable housing activities through housing partnerships with private industry and non-profit organizations.

The Emergency Solutions Grant (ESG) program provides homeless persons with basic shelter and essential supportive services. ESG funds can be used for a variety of activities, including rehabilitation or remodeling

of a building to add new shelter beds, operations and maintenance of a homeless facility, essential supportive services, and homeless prevention.

Consolidated Plan Public Contact Information

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AP-10 Consultation – 91.100, 91.200(b), 91.215(l)

1. Introduction

As part of the Consolidated Plan development, the City undertook a comprehensive outreach program to solicit input from residents and beneficiaries of entitlement programs, and to consult with elected officials, City departments, and various organizations, agencies, and service providers to inform and develop the priorities and strategies contained in the Garden Grove 2020-2025 Consolidated Plan. The City has continued to keep these lines of communications open during the preparation of the FY 2021-22 Action Plan.

Provide a concise summary of the jurisdiction's activities to enhance coordination between public and assisted housing providers and private and governmental health, mental health and service agencies (91.215(l))

There has been input by residents, service providers, non-profit organizations, religious institutions, other city departments, and other agencies through a community survey and public hearings. These views are incorporated into the Garden Grove 2020-2025 Consolidated Plan and its programs. A total of 159 stakeholders, including: public and assisted housing providers and developers; private and governmental agencies; and health, mental health and service agencies were directly contacted and invited to participate in the planning process for Garden Grove.

Describe coordination with the Continuum of Care and efforts to address the needs of homeless persons (particularly chronically homeless individuals and families, families with children, veterans, and unaccompanied youth) and persons at risk of homelessness.

The County of Orange Department of Housing and Community Services (HCS) coordinates the County Continuum of Care in response to the ongoing homeless needs in the region. A collaborative approach to addressing homelessness in Garden Grove dubbed United to End Homelessness was established in May 2019 uniting the five major sectors of the population: residents, businesses, non-profit organizations, faith-based groups and philanthropic organizations. The City of Garden Grove also participates in the Point in Time Survey that assesses the level of homelessness and an inventory of available local community resources to address homelessness in the county. The Neighborhood Improvement and Conservation Commission is an advisory body to the City Council that promotes citizen awareness, involvement, and support for neighborhood improvement and preservation for the community.

Describe consultation with the Continuum(s) of Care that serves the jurisdiction's area in determining how to allocate ESG funds, develop performance standards for and evaluate outcomes of projects and activities assisted by ESG funds, and develop funding, policies and procedures for the operation and administration of HMIS

The City of Garden Grove is one of five jurisdictions that receive ESG funds directly within the County of Orange. To this end, the city contributes to the countywide CoC providing funding to:

1. Engage homeless individuals and families living on the street;
2. Improve the number and quality of emergency shelters for homeless individuals and families;
3. Help operate these shelters;
4. Provide essential services to shelter residents;
5. Rapidly re-house homeless individuals and families; and
6. Prevent families/individuals from becoming homeless.

The City allocates the resources to sub-recipients to rehabilitate and operate emergency and transitional shelters, provide essential social services, and prevent homelessness.

The City actively participates in the Orange County CoC by attending meetings to discuss how to establish performance measures that benefit the broader goals of the region. Garden Grove provides data for CoC surveys and relies heavily upon the CoC's research and discussions to identify and address critical gaps in local care for the homeless. In doing so, the City is able to meet homeless needs in the community through assistance to providers and programs that offer emergency/transitional housing or homeless prevention services.

The Orange County CoC is the Homeless Management and Information System (HMIS) lead agency, also referred to as Orange County HMIS. This organization administers the HMIS for the region and sets a uniform standard for all homeless and at-risk service providers and agencies to submit client-level and demographic data for HUD reporting and local homeless strategies. All ESG-funded organizations enter information to the Orange County HMIS system.

2. Describe Agencies, groups, organizations and others who participated in the process and describe the jurisdiction's consultations with housing, social service agencies and other entities

1	Agency/Group/Organization	211 Orange County
	Agency/Group/Organization Type	Housing Services-Children Services-Elderly Persons Services-Persons with Disabilities Services-Persons with HIV/AIDS Services-Victims of Domestic Violence Services-homeless Services-Health Services-Education Services-Employment Service-Fair Housing Services - Victims
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Public Housing Needs Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth Economic Development Market Analysis Anti-poverty Strategy

	How was the Agency/Group/Organization consulted and what was are the anticipated outcomes of the consultation or areas for improved coordination?	This organization provided direct input, helped to identify priority needs in the community, and participated in a community workshop for the Garden Grove 2020-2025 Consolidated Plan.
2	Agency/Group/Organization	Helping Others Prepare for Eternity
	Agency/Group/Organization Type	Services-Children Services-Victims of Domestic Violence Services-Education Services-Employment
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Non-Homeless Special Needs Market Analysis Anti-poverty Strategy
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization provided direct input, helped to identify priority needs in the community, and participated in a community workshop for the Garden Grove 2020-2025 Consolidated Plan.
3	Agency/Group/Organization	Garden Grove Community Arts Society
	Agency/Group/Organization Type	Services-Children
	What section of the Plan was addressed by Consultation?	Non-Homeless Special Needs
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization provided direct input, helped to identify priority needs in the community, and participated in a community workshop for the Garden Grove 2020-2025 Consolidated Plan.
4	Agency/Group/Organization	Illumination Foundation
	Agency/Group/Organization Type	Services-homeless

	What section of the Plan was addressed by Consultation?	Housing Need Assessment Homelessness Strategy Homeless Needs - Chronically homeless Homeless Needs - Families with children Homelessness Needs - Veterans Homelessness Needs - Unaccompanied youth
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization provided direct input, helped to identify priority needs in the community, and participated in a community workshop for the Garden Grove 2020-2025 Consolidated Plan.
5	Agency/Group/Organization	Garden Grove United Methodist Church
	Agency/Group/Organization Type	Community Church
	What section of the Plan was addressed by Consultation?	Housing Need Assessment Anti-poverty Strategy
	How was the Agency/Group/Organization consulted and what are the anticipated outcomes of the consultation or areas for improved coordination?	This organization provided direct input, helped to identify priority needs in the community, and participated in a community workshop for the Garden Grove 2020-2025 Consolidated Plan.

Table 2 – Agencies, groups, organizations who participated

Identify any Agency Types not consulted and provide rationale for not consulting

No agency/ organization was left out of the consultation process.

Other local/regional/state/federal planning efforts considered when preparing the Plan

Name of Plan	Lead Organization	How do the goals of your Strategic Plan overlap with the goals of each plan?
Continuum of Care	County of Orange	The Orange County Point-in-Time count provided homeless data for the Consolidated Plan. The Orange County Ten-Year Plan to End Homelessness Strategic Plan is closely aligned with the goals of the CoC. Garden Grove is an administering agency for CoC and ESG funds in addition to the City's CDBG and HOME allocations.
City of Garden Grove Housing Element (2014-2021)	City of Garden Grove Community and Economic Development Department	The Housing Element serves as a policy guide to help the City meet existing and future housing needs. Both the Consolidated Plan and the Housing Element share common goals that address housing-related issues in the community.
Garden Grove Proposed Biennial Budget FY 2021-2022	City of Garden Grove Finance Department	The Consolidated Plan is aligned with the City's annual budgets. Finance prepares annual strategies and financing to fulfill the Action Plan and by extension the overall Consolidated Plan.
Economic Development Strategic Plan, 2018	City of Garden Grove Office of Economic Development	The City of Garden Grove's 2018 Economic Development Strategic Plan is a baseline assessment of existing conditions that drive economic investment and outlines strategic recommendations to address the community's economic issues and opportunities.

Table 3 – Other local / regional / federal planning efforts

AP-12 Participation – 91.105, 91.200(c)

1. Summary of citizen participation process/Efforts made to broaden citizen participation Summarize citizen participation process and how it impacted goal-setting

Citizen participation is a core part of the Consolidated Plan process. This plan is developed through a collaborative process that involves City Staff, service providers, residents, and non-profit agencies. This section gives insight into the collaborative process that took place in the development of this plan. Public input was used to prioritize community needs in the Consolidated Plan. The following avenues were used to obtain public comments:

Consolidated Plan Survey - The City of Garden Grove gave public notice on Friday, August 23, 2019, through a press release inviting residents of Garden Grove to add their input towards the consolidated planning process. The Survey was made available through the City of Garden Grove's website in English, Spanish, and Vietnamese. It was also made available during community workshops.

Community Workshops - In August 2019, the Housing and Community Needs Public Workshops were announced through a press release for the public to give their views on housing and community issues related to the Consolidated Plan. The workshops were held on Wednesday, September 18, 2019, at 6:30 p.m., at Bolsa Grande High School's cafeteria, 9401 Westminster Avenue, and on Thursday, October 17, 2019, at 6:30 p.m., at the Garden Grove Community Meeting Center 'A' Room, 11300 Stanford Avenue.

The Draft Action Plan was available for public review beginning **March 26, 2021 and ending April 27, 2021**. The Draft Plan is available on the City's website for review.

On **April 26, 2021**, the draft Action Plan was reviewed as part of a special NICC meeting.

On **April 27, 2021**, the City Council conducted a public hearing to consider the Action Plan.

A public notice regarding the NICC and Council meetings were advertised in the local newspapers on **March 26, 2021**. Public meetings and hearings were publicized adequately and held at times and locations convenient to the community. The location of hearings at the Garden Grove Community Meeting Center is accessible to persons with physical disabilities.

Summaries of the public comments, meeting minutes and copies of public notices are included in Appendix A.

Citizen Participation Outreach

Sort Order	Mode of Outreach	Target of Outreach	Summary of response/attendance	Summary of comments received	Summary of comments not accepted and reasons	URL (If applicable)
1	Public Hearing	Non-targeted/broad community	See Appendix A (Neighborhood Improvement Conservation Committee)	See Appendix A	N/A	N/A
2	Public Hearing	Non-targeted/broad community	See Appendix A (City Council Meeting)	See Appendix A	N/A	N/A
3	Newspaper Ad	Non-targeted/broad community	See Appendix A	N/A	N/A	N/A
4	Newspaper Ad	Non-English Speaking - Specify other language: Vietnamese	See Appendix A	N/A	N/A	N/A
5	Newspaper Ad	Non-English Speaking - Specify other language: Spanish	See Appendix A	N/A	N/A	N/A
6	Internet Outreach	Non-targeted/broad community	N/A	N/A	N/A	

Table 4 – Citizen Participation Outreach

Expected Resources

AP-15 Expected Resources – 91.220(c)(1,2)

Introduction

For the one-year period covering July 1, 2021 through June 30, 2022, the City has planned for the following allocations:

- \$2,001,165 in CDBG funds
- \$838,015 in HOME funds
- \$173,143 in ESG funds

Garden Grove does not receive funding under the Housing Opportunities for Persons with AIDS (HOPWA) programs. In recent years, the levels of CDBG, HOME and ESG funds have been consistent.

In terms of program income, the City anticipates an unsteady stream of program income over the course of this Action Plan. During the past five years, the level of program income received varied from \$30,000 in one year to over \$90,000 in another. Program income received from of will re-programmed for similar loan activities in the same or similar programs from which the funds were originally provided.

Anticipated Resources

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 2				Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$	
CDBG	public - federal	Acquisition Admin and Planning Economic Development Housing Public Improvements Public Services	2,001,165	0	869,005	2,870,170	<p>The amount of CDBG funds available during the planning period is based on actual funds available.</p> <p>Approximately, \$869,005 in unexpended prior year resources will be carried over to fund the Garden Grove Park Rehabilitation, Home Improvement and JOBS 1st Programs and a Permanent Supportive Housing project.</p>
HOME	public - federal	Acquisition Homebuyer assistance Homeowner rehab Multifamily rental new construction Multifamily rental rehab New construction for ownership TBRA	838,015	0	1,929,648	2,767,663	<p>The amount of HOME funds available during the planning period is based on actual funds available.</p> <p>Approximately, \$1,929,648 in unexpended prior year resources will be carried over to fund Tenant Based Rental Assistance and a permanent supportive housing project.</p>

Program	Source of Funds	Uses of Funds	Expected Amount Available Year 2				Narrative Description
			Annual Allocation: \$	Program Income: \$	Prior Year Resources: \$	Total: \$	
ESG	public - federal	Conversion and rehab for transitional housing Financial Assistance Overnight shelter Rapid re-housing (rental assistance) Rental Assistance Services Transitional housing	173,143	0	6,995	180,138	<p>The amount of ESG funds available during the planning period is based on actual funds available.</p> <p>Approximately, \$6,995 in unexpended prior year resources will be carried over to fund Emergency Shelter.</p>

Table 5 - Expected Resources – Priority Table

Explain how federal funds will leverage those additional resources (private, state and local funds), including a description of how matching requirements will be satisfied

As is the case for many communities across the nation, the housing and community development needs in Garden Grove surpass the funding available to meet those needs. Therefore, effective and efficient use of funds is crucial, and the leveraging of multiple funding sources is often necessary to achieve housing and community development objectives. Most activities to be pursued by the City with CDBG, HOME, and ESG funds will be leveraged with a variety of funding sources, including grants from state, federal, and local governments, private foundations, capital development funds, general funds, private donations of funds or services, and various other funding sources. For new construction, substantial rehabilitation, and acquisition of affordable housing, the City encourages the use of Low-Income Housing Tax Credits.

Federal match requirements apply to the City's HOME and ESG funds. The HOME program requires that for every HOME dollar spent, the City must provide a 25% match with non-federal dollars. HUD allows the City to use various resources to meet this match requirement. According to HOME program guidelines, no more than 25% of the City's match liability for any one year can be met through loans to housing projects, but amounts in excess of that may be banked as match credit for future years. The City has an excess of match funds from previous years.

The ESG program requires a 100% match with non-federal dollars. Garden Grove will continue to require its ESG partners to leverage non-federal funds and report their successes with each quarterly performance report.

The Garden Grove Housing Authority provides rental subsidies for eligible low-income (50% MFI) families. The Section 8 Rental Assistance Program is funded by federal grants through the Department of Housing and Urban Development. The Housing Authority provides assistance to over 2,200 low-income families. The funding level for this program is determined annually by Congress. Currently funding is approximately \$25.5 million per year.

The Garden Grove Housing Authority also administers a Family Self-Sufficiency Program, which assists housing participants in achieving economic self-sufficiency through education, training, and employment. Approximately 368 very low-income families are involved in the program, which currently is funded at approximately \$69,000 per year.

Workforce Initiative Subsidy for Homeownership Grant

Under the Workforce Initiative Subsidy for Homeownership (WISH) Program, the Federal Home Loan Bank in San Francisco sets aside a portion of its annual Affordable Housing Program contribution to provide matching grants through bank members for down payment and closing cost assistance to eligible first-time homebuyers. Through the continued partnership with Pacific Mercantile Bank, who is a member bank of Federal Home Loan Bank in San Francisco, the City will continue to leverage WISH funds for homebuyers.

Permanent Local Housing Allocation Program

In 2019, the City was awarded an annual allocation of Permanent Local Housing Allocation Program funds. The Permanent Local Housing Allocation Program is part of a 15-bill housing package aimed at addressing California's housing shortage and high housing costs. The first year of the grant is designed to assist jurisdictions with planning and administration activities, including: updating the Housing Element, creating objective development standards, creating objective development standards for supportive housing, updating the City's density bonus ordinance, creating development standards for hotel and motel conversions, updating the multi-family residential ordinance to allow by-right permanent supportive housing, and providing funding for the University of California, Irvine Housing Study.

Eligible program activities after the first year include predevelopment, development, acquisition, rehabilitation, and preservation of multifamily, residential live-work, and rental housing that is affordable to extremely low-, very low-, low-, or moderate-income households; affordable rental and ownership housing that assists households earning up to 120% AMI, or 150% AMI in high-cost areas; matching portions of funds placed into local or regional housing trust funds; matching portions of funds available through the Low- and Moderate-Income Housing Asset Fund; capitalized reserves for services connected to the preservation and creation of new permanent supportive housing; assisting persons who are experiencing or at risk of homelessness; accessibility modifications; efforts to acquire and rehabilitate foreclosed or vacant homes and apartments; homeownership opportunities; and matching funds invested by a county in an affordable housing development project.

Low-Moderate Income Housing Trust Fund

The City anticipates receiving approximately \$13M into the LMIHAF over the 5-year Consolidated Plan period. Per State regulations, up to \$250,000 per year may be expended to provide programs and services to homeless Garden Grove households. During FY 2020-2021, the City utilized \$100,000 in LMIHAF monies to subsidize the services portion of a rental assistance program for homeless households as a part of the Homeless Emergency Assistance Rental Transition (HEART) Program. The City expects to extend this program throughout the 5-year Consolidated Planning period to reduce homelessness within the jurisdiction. Remaining LMIHAF monies will be expended to produce affordable housing for low-income residents throughout the City.

If appropriate, describe publicly owned land or property located within the jurisdiction that may be used to address the needs identified in the plan

The Successor Agency owns an 8-unit apartment complex located at 12602 Keel Street in Garden Grove. This location is currently being leased to

the Orange County Community Housing Corporation (OCCHC) who offers the units to very-low-income families at an affordable rent. During FY 2021-22, the City will continue to monitor this project for compliance with rent/income limits to ensure Garden Grove residents have access to quality affordable housing.

Discussion

See responses above.

Annual Goals and Objectives

AP-20 Annual Goals and Objectives

Goals Summary Information

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
1	Provide Decent and Affordable Housing	2020	2025	Affordable Housing Homeless Non-Homeless Special Needs	Citywide	Increase, Improve, and Preserve Affordable Housing Promote New Construction of Affordable Housing Provide Rental Assistance to Alleviate Cost Burden	CDBG: \$180,000 HOME: \$2,519,214	Rental units constructed: 0 Household Housing Unit Rental units rehabilitated: 10 Household Housing Unit Homeowner Housing Rehabilitated: 30 Household Housing Unit Tenant-based rental assistance / Rapid Rehousing: 47 Households Assisted

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
2	Address the Needs of Homeless Individuals	2020	2025	Homeless	Citywide	Promote Programs to Meet Homeless Needs	ESG: \$180,138	Tenant-based rental assistance / Rapid Rehousing: 3 Households Assisted Homeless Person Overnight Shelter: 52 Persons Assisted Homelessness Prevention: 35 Persons (10 Households) Assisted Other: 200 Other
3	Provide Community and Supportive Services	2020	2025	Homeless Non-Homeless Special Needs Non-Housing Community Development	Citywide	Preserve and Improve Existing Supportive Services	CDBG: \$300,174	Public service activities other than Low/Moderate Income Housing Benefit: 930 Persons Assisted
4	Address Public Facilities and Infrastructure Needs	2020	2025	Non-Homeless Special Needs Non-Housing Community Development	Citywide	Address Public Facilities/Infrastructure Needs	CDBG: \$1,524,005	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit: 10,874 Persons Assisted
5	Promote Economic Development and Employment	2020	2025	Non-Housing Community Development	Citywide	Promote Economic Development and Employment	CDBG: \$465,758	Jobs created/retained: 153 Jobs

Sort Order	Goal Name	Start Year	End Year	Category	Geographic Area	Needs Addressed	Funding	Goal Outcome Indicator
6	Provide for Planning and Administration Activities	2020	2025	Affordable Housing Homeless Non-Homeless Special Needs Non-Housing Community Development	Citywide	Provide for Necessary Planning and Administration	CDBG: \$400,233 HOME: \$248,449	\$164,648 in prior year HOME administration funds are being carried over.

Table 6 – Goals Summary

Goal Descriptions

1	Goal Name	Provide Decent and Affordable Housing
	Goal Description	The City is focused on providing decent and affordable housing through a variety of programs as funding permits. Programs and activities to accomplish the City's goal include: new construction of affordable housing; acquisition and/or rehabilitation activities; rehabilitation assistance programs; lead-based paint hazard reduction efforts; and home ownership assistance.
2	Goal Name	Address the Needs of Homeless Individuals
	Goal Description	The City of Garden Grove will continue to use its funds to address homeless needs in the City in a manner that supports the countywide CoC system.
3	Goal Name	Provide Community and Supportive Services
	Goal Description	The City will provide for a variety of community and supportive services, with a focus on crime awareness and prevention programs and senior services. Other services may be considered if funding is available.

4	Goal Name	Address Public Facilities and Infrastructure Needs
	Goal Description	The City will coordinate improvements to public facilities and infrastructure to improve living conditions for low-income residents and neighborhoods.
5	Goal Name	Promote Economic Development and Employment
	Goal Description	The City will promote greater employment opportunities and support of economic development activities throughout the city.
6	Goal Name	Provide for Planning and Administration Activities
	Goal Description	<p>The City will continue to administer the CDBG, HOME, and ESG programs in compliance with program regulations and requirements. To ensure the effective use of limited CDBG, HOME, and ESG funds, the City must allocate funding towards planning and monitoring of the programs.</p> <p>The City complies with state and federal fair housing laws. To achieve fair housing goals, the City has contracted with a fair housing service provider to provide information, mediation, and referrals to residents. Garden Grove will strive to provide and maintain equal housing opportunities for all residents in the City, including special needs residents.</p>

Projects

AP-35 Projects – 91.220(d)

Introduction

The Fiscal Year (FY) 2021-22 Action Plan implements the second year of the 2020–2025 Consolidated Plan and addresses HUD consolidated planning requirements for the Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME), and Emergency Solutions Grant (ESG) programs for the City of Garden Grove. This plan outlines the action steps that Garden Grove will use to address housing and community development needs in the City. The plan also includes a listing of activities that the City will undertake during FY 2021-22 (July 1, 2021 through June 30, 2022) that utilize CDBG, HOME and ESG funds.

The City makes its funding allocation decisions in part based on proposals received as part of the annual RFP process. Through this process, funds are awarded to eligible activities that support the goals and address the priority needs described in the Strategic Plan. While CDBG, HOME, and ESG funding allocations for FY 2021-22 will not address all of the community's priority needs, allocations are focused toward specific projects addressing high community priorities and producing tangible community benefits.

Prior Year Funds Description

Tenant Based Rental Assistance – During FY 2020-21, the City continued administering the Homeless Emergency Assistance Rental Transition (HEART) Program, which provides rental assistance with wrap-around services to literally homeless households. Mercy House has approximately \$125,000 of unexpended HOME funding that will be carried over into FY 2021-22. Additionally, the City is offering rental assistance to 17 senior citizens at-risk of becoming homeless due to the expiring affordability covenants of the Valley View Senior Villas affordable housing project. Rental assistance for these vulnerable populations will be subsidized with \$140,000 in prior year, totaling \$265,000 in unexpended HOME funds.

Emergency Solutions Grant – During FY 2019-20, \$6,995 of unexpended Emergency Solutions Grant funds were left over from Emergency Shelter. In order to spend these unexpended funds, Illumination Foundation will be allocated \$6,995 of funds for Emergency Shelter services for Garden Grove homeless individuals and families.

Garden Grove Park Rehab - During FY 2020-21, the City of Garden Grove began work on Garden Grove Park Rehabilitation project and it is anticipated to be complete by September 2021. The City will carry over approximately \$524,005 in unexpended prior year CDBG funds to complete this project.

JOBS 1st Program - During FY 2020-21, the City funded the JOBS 1st (formerly Small Business Assistance Program) with \$175,000 in CDBG funds to provide financial assistance to four (4) businesses in exchange for creating four (4) new jobs for low-income individuals; however, the program was not successful. Businesses were negatively impacted by COVID-19 and are having to lay off employees and/or close their business. The City will be revising the Jobs 1st Program Guidelines to provide \$25,000 grants to eligible businesses who have been negatively impacted by COVID-19 and will retain approximately 120 jobs.

JOBS 1st To-Go Program - During FY 2020-21, the City implemented the Jobs 1st To-Go Program to assist businesses who are transitioning to takeout due to COVID-19. The Jobs 1st To-Go Grant provides up to \$1,500 to eligible businesses who retain 1 employee and who were negatively impacted by COVID-19. Approximately \$50,000 of unexpended program funds will be carried over to retain 33 jobs.

Home Improvement Grant - During FY 2020-21, the City funded the Home Repair Program with \$240,000 in CDBG funds to assist 40 low-income residents with home repairs. Approximately, \$120,000 of unexpended program funds will be carried over to assist additional low-income residents.

Permanent Supportive Housing – The City currently has approximately \$1.643M in unallocated HOME funds dating back to FY 2018-19. During FY 2021-22, the City anticipates funding the development of a Permanent Supportive Housing project utilizing approximately \$1.5M in prior year resources.

Unexpended/Unallocated Funds - Approximately **\$396,920** in unexpended prior year **CDBG** resources will remain unallocated for future use. Approximately **\$898,211** in unexpended prior year **HOME** resources will be left unallocated for future use.

Projects

#	Project Name
1	Administration and Planning
2	Public Services
3	Public Facilities and Infrastructure
4	Affordable Housing
5	Owner-Occupied Housing Rehabilitation
6	Economic Development and Employment
7	ESG21 Garden Grove

Table 7 - Project Information

Describe the reasons for allocation priorities and any obstacles to addressing underserved needs

The major obstacle to addressing the underserved needs in the community is the lack of adequate funding, especially for affordable housing activities. With the dissolution of redevelopment in California and reduced state and federal funding levels, the City's ability to address the extensive needs in the

community is seriously compromised.

1	Project Name	Administration and Planning
	Target Area	Citywide
	Goals Supported	Provide for Planning and Administration Activities
	Needs Addressed	Provide for Necessary Planning and Administration
	Funding	CDBG: \$400,233 HOME: \$248,449
	Description	Provide for necessary planning and administration activities to address housing and community development needs in the City. \$164,648 in prior year HOME administration funds are being carried over.
	Target Date	6/30/2022
	Estimate the number and type of families that will benefit from the proposed activities	N/A
	Location Description	N/A
2	Planned Activities	Planning and public participation, contract design, management and monitoring, financial administration, and HUD communication to administer the City's CDBG and HOME programs. Garden Grove will strive to provide and maintain equal housing opportunities for all residents in the City, including special needs residents.
	Project Name	Public Services
	Target Area	Citywide
	Goals Supported	Provide Community and Supportive Services
	Needs Addressed	Preserve and Improve Existing Supportive Services
	Funding	CDBG: \$300,174

	Description	<p><u>Special Resource Team (\$120,080)</u> - The Police Department's Special Resource Team is responsible for providing response and outreach to homeless individuals. The main goal for the Special Resource Team is to get the homeless residents the services they need to get off of the streets. Funding this organization will enhance safety in lower-income areas.</p> <p><u>Senior Center Services (\$160,094)</u> - Provide one or more programs for seniors at the H. Louis Lake Senior Center. Programs include recreation and socialization, daily lunch, nutrition health education, and support for seniors.</p> <p><u>Meals on Wheels (\$20,000)</u> - Provide raw food for congregate meals to Garden Grove residents citywide.</p>
	Target Date	6/30/2022
	Estimate the number and type of families that will benefit from the proposed activities	<p><u>Special Resource Team</u> – 2,000 contacts and 400 referrals</p> <p><u>Senior Center Services</u> - 300 individuals</p> <p><u>Meals on Wheels</u> - 230 individuals</p>
	Location Description	<p><u>Special Resource Team</u> - Citywide</p> <p><u>Senior Center Services</u> - 11300 Stanford Avenue, Garden Grove, CA 92840.</p> <p><u>Meals on Wheels</u> - Citywide</p>
	Planned Activities	<p><u>Special Resource Team</u> - The Police Department's Special Resource Team is responsible for providing response and outreach to homeless individuals. The main goal for the Special Resource Team is to get the homeless residents the services they need to get off of the streets. Funding this organization will enhance safety in lower-income areas.</p> <p><u>Senior Center Services</u> - Provide one or more programs for seniors at the H. Louis Lake Senior Center. Programs include recreation and socialization, daily lunch, nutrition health education, and support for seniors.</p> <p><u>Meals on Wheels</u> - Provide raw food for congregate meals to Garden Grove residents citywide.</p>
3	Project Name	Public Facilities and Infrastructure
	Target Area	

	Goals Supported	Address Public Facilities and Infrastructure Needs
	Needs Addressed	Address Public Facilities/Infrastructure Needs
	Funding	CDBG: \$1,524,005
	Description	<u>Josephine/Acacia Rehabilitation (\$1,000,000)</u> - CDBG funds will be used to rehabilitate local residential streets. <u>Garden Grove Park Rehabilitation (\$524,005)</u> - Rehabilitation in Garden Grove park.
	Target Date	6/30/2022
	Estimate the number and type of families that will benefit from the proposed activities	<u>Josephine/Acacia Rehabilitation</u> - Low/Mod Income Individuals Assisted: 1,357 Individuals. <u>Garden Grove Park Rehabilitation</u> - Low/Moderate Income Individuals Assisted: 9,517 Individuals.
	Location Description	Josephine/Acacia Garden Grove Park – 9301 Westminster Avenue
	Planned Activities	<u>Josephine/Acacia Rehabilitation</u> - CDBG funds will be used to rehabilitate local residential streets at Josephine/Acacia. <u>Garden Grove Park Rehabilitation</u> - Rehabilitation in Garden Grove park.
4	Project Name	Affordable Housing
	Target Area	Citywide
	Goals Supported	Provide Decent and Affordable Housing Address the Needs of Homeless Individuals
	Needs Addressed	Increase, Improve, and Preserve Affordable Housing Promote New Construction of Affordable Housing Provide Rental Assistance to Alleviate Cost Burden Promote Programs to Meet Homeless Needs
	Funding	HOME: \$2,519,214

Description	<p><u>New Construction of Affordable Housing (\$127,107)</u> - Facilitate predevelopment of new housing projects.</p> <p><u>Acquisition/Rehabilitation of Affordable Housing (\$377,107)</u> - Dedication of affordable rental housing units in exchange for financial assistance for developers to acquire and/or rehabilitate properties.</p> <p><u>Permanent Supportive Housing (\$1,500,000)</u> – Approximately \$1.5 in prior year HOME funds will be utilized to develop a permanent supportive housing project.</p> <p><u>Tenant Based Rental Assistance (\$515,000)</u> - TBRA for extremely low-income individuals and families.</p> <p><u>Interval House HEART (\$250,000)</u> - Interval House will be funded at \$250,000 of FY 21-22 HOME funding that will be assist approximately 20 extremely low-income residents.</p> <p><u>Mercy House HEART (\$125,000)</u> - Mercy House has approximately \$125,000 of unexpended HOME funding that will be carried over into FY 2021-22 to assist approximately 10 extremely low-income residents.</p> <p><u>Valley View Senior Villas (\$140,000)</u> - During FY 20-21, the City offered rental assistance to 17 senior citizens at-risk of becoming homeless due to the expiring affordability covenants of the Valley View Senior Villas affordable housing project. Rental assistance for this vulnerable population will continue to be subsidized with \$140,000 in prior year, unexpended HOME funds in FY 21-22.</p>
Target Date	6/30/2022
Estimate the number and type of families that will benefit from the proposed activities	<p><u>New Construction of Affordable Housing</u> – 0 new affordable housing units.</p> <p><u>Acquisition/Rehabilitation of Affordable Housing</u> - 10 affordable housing units.</p> <p><u>Tenant Based Rental Assistance</u> - 27 households.</p>
Location Description	Citywide.

	Planned Activities	<p><u>New Construction of Affordable Housing</u> - Facilitate predevelopment of new housing projects.</p> <p><u>Acquisition/Rehabilitation of Affordable Housing</u> - Dedication of affordable rental housing units in exchange for financial assistance for developers to acquire and/or rehabilitate properties.</p> <p><u>Tenant Based Rental Assistance</u> - TBRA for extremely low-income individuals and families.</p>
5	Project Name	Owner-Occupied Housing Rehabilitation
	Target Area	Citywide
	Goals Supported	Provide Decent and Affordable Housing
	Needs Addressed	Increase, Improve, and Preserve Affordable Housing
	Funding	CDBG: \$180,000
	Description	<u>Home Repair Program (\$180,000 CDBG)</u> - The program provides a grant of up to \$5,000 for minor home repairs including: plumbing, electrical, energy conservation activities, accessibility improvements, security and safety improvements, exterior refurbishing, and painting to eligible lower-income homeowners. During FY 2020-21, the City funded the Home Repair Program with \$240,000 in CDBG funds to assist 40 low-income residents with home repairs. \$120,000 of unexpended program funds will be carried over to assist additional low-income residents.
	Target Date	6/30/2022
	Estimate the number and type of families that will benefit from the proposed activities	<u>Home Repair Program</u> - 30 households served
	Location Description	Citywide
	Planned Activities	<u>Home Repair Program</u> - The program provides a grant of up to \$5,000 for minor home repairs including: plumbing, electrical, energy conservation activities, accessibility improvements, security and safety improvements, exterior refurbishing, and painting to eligible lower-income homeowners.

6	Project Name	Economic Development and Employment
	Target Area	Citywide
	Goals Supported	Promote Economic Development and Employment
	Needs Addressed	Promote Economic Development and Employment
	Funding	CDBG: \$465,758
	Description	<p><u>JOBS 1st Program (\$415,758)</u> - During FY 2010-21, the City funded the JOBS 1st with \$175,000 in CDBG funds to provide financial assistance to four (7) businesses in exchange for creating four (7) new jobs for low-income individuals; however, the COVID-19 made businesses hesitant to take out loans, so \$25,000 grants will be offered to businesses who have been negatively impacted by COVID-19 in FY 21-22. \$175,000 in prior year CDBG funds will be carried over and an additional \$240,758 in entitlement funds will be programed to 120 jobs during FY 2021-22.</p> <p><u>JOBS 1st To-Go Program (\$50,000)</u> - During FY 2020-21, the City implemented the Jobs 1st To-Go Program to assist businesses who are transitioning to takeout due to COVID-19. The Jobs 1st To-Go Grant provides up to \$1,500 to eligible businesses who retain 1 employee and who were negatively impacted by COVID-19. \$50,000 in prior year funds will be carried over to retain 33 jobs during FY 2021-22.</p>
	Target Date	6/30/2022
	Estimate the number and type of families that will benefit from the proposed activities	<p><u>JOBS 1st Program (\$415,758)</u>- 120 Jobs Created and/or Retained.</p> <p><u>JOBS 1st To-Go Program (\$50,000-Prior Year funds)</u>- 33 Jobs Created and/or Retained.</p> <p>Total # of Jobs Created/Retained = 153 Jobs</p>
	Location Description	Citywide
	Planned Activities	Provide small business assistance loans and grants for job creation or retention.
7	Project Name	ESG21 Garden Grove
	Target Area	Citywide
	Goals Supported	Address the Needs of Homeless Individuals
	Needs Addressed	Promote Programs to Meet Homeless Needs
	Funding	ESG: \$180,138

Description	Emergency Solutions Grant - During FY 2019-20, there was \$6,995.36 of unexpended Emergency Solutions Grant funds. In order to spend these unexpended funds, Illumination Foundation will be allocated the \$6,995.36 of funds for Emergency Shelter services for Garden Grove homeless individuals and families.
Target Date	6/30/2022
Estimate the number and type of families that will benefit from the proposed activities	<u>Tenant-based rental assistance / Rapid Rehousing</u> - 3 Households Assisted (6 individuals) <u>Homeless Person Overnight Shelter</u> - 52 Persons Assisted <u>Homelessness Prevention</u> - 35 Persons Assisted (10 households) <u>Other</u> - 200 Other
Location Description	Citywide
Planned Activities	Administration - \$12,985 Administration Total (7.5% Cap) - \$12,985 Street Outreach - \$25,000 Emergency Shelter -\$55,158 Shelter and Outreach Total (60% Cap-\$103,885.80) - \$80,158 Homeless Prevention - \$25,000 Rapid-Rehousing - \$30,000 Homeless Management and Information Systems - \$25,000

AP-50 Geographic Distribution – 91.220(f)

Description of the geographic areas of the entitlement (including areas of low-income and minority concentration) where assistance will be directed

The City has not established specific target areas to focus the investment of CDBG funds. Appendix B contains a map of block groups illustrating the lower-income areas in the City (defined as a block group where at least 51% of the population have incomes not exceeding 80% of the AMI). Investments in housing and community development services serving special needs populations and primarily lower-income persons will be made throughout the City. Housing assistance will be available to income-qualified households citywide.

Geographic Distribution

Target Area	Percentage of Funds

Table 8 - Geographic Distribution

Rationale for the priorities for allocating investments geographically

The majority of the city of Garden Grove qualifies as a low- and moderate-income area. Therefore, given the extensive needs in the community, the City has not targeted any specific neighborhood for investment of CDBG and HOME funds. Instead, projects are evaluated on a case-by-case basis, while considering emergency needs, cost effectiveness, feasibility, and availability of other funding to address the specific needs.

Discussion

Refer to the discussion above.

Affordable Housing

AP-55 Affordable Housing – 91.220(g)

Introduction

The City plans to utilize HOME and CDBG funds to support its authorized housing activities, including the Home Improvement Grant Program, as well as the acquisition/rehabilitation of affordable housing units.

One Year Goals for the Number of Households to be Supported	
Homeless	57
Non-Homeless	30
Special-Needs	0
Total	87

Table 9 - One Year Goals for Affordable Housing by Support Requirement

One Year Goals for the Number of Households Supported Through	
Rental Assistance	47
The Production of New Units	0
Rehab of Existing Units	30
Acquisition of Existing Units	10
Total	87

Table 10 - One Year Goals for Affordable Housing by Support Type

Discussion

Refer to responses above.

AP-60 Public Housing – 91.220(h)

Introduction

The City of Garden Grove Housing Authority receives federal funds to facilitate the housing needs of persons from low-income households. The City does not operate or own public housing units. However, it disseminates rental assistance through the Section 8 vouchers. The City is currently serving approximately 2,200 households through the rental assistance program.

Actions planned during the next year to address the needs to public housing

Not Applicable. The City of Garden Grove does not operate any public housing units.

Actions to encourage public housing residents to become more involved in management and participate in homeownership

Not Applicable. The City of Garden Grove does not operate any public housing units.

If the PHA is designated as troubled, describe the manner in which financial assistance will be provided or other assistance

Not Applicable. The City of Garden Grove does not operate any public housing units.

Discussion

Refer to responses above.

AP-65 Homeless and Other Special Needs Activities – 91.220(i)

Introduction

Homeless prevention services are identified as a high priority need in the 2020-2025 Consolidated Plan. The City plans to address the needs of homeless individuals and those at risk of homelessness through allocation of ESG funds to support local efforts that prevent and address homelessness. The City of Garden Grove also administers the Homeless Emergency Assistance Rental Transition (HEART) Program, which forms part of the Comprehensive Four-Point Approach to End Homelessness. Through HEART, a portion of a household's rent (including security and utility deposits) is paid while offering services to achieve self-sufficiency. The program aims to assist 20 households over a 12-month period. The City will also continue to participate in the Orange County Continuum of Care System for the Homeless.

During Fiscal Year 2021-22, the City of Garden Grove will provide Tenant Based Rental Assistance to 17 seniors at-risk of becoming homeless due to the expiration of affordability covenants at the Valley View Senior Villas affordable housing project. The rental assistance will be used to keep the residents in their housing units until permanent, affordable housing accommodations can be secured.

Describe the jurisdictions one-year goals and actions for reducing and ending homelessness including

Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs

Garden Grove participates in the Orange County Continuum of Care (CoC) system. For the past several years, leadership and coordination of Orange County's Continuum of Care planning process have been the shared responsibility of OC Partnership, 211 Orange County, and the OC Community Services. This public/nonprofit partnership helps ensure comprehensive and regional coordination of efforts and resources to reduce the number of homeless individuals and persons at risk of homelessness throughout Orange County. This group serves as the regional convener of the year-round CoC planning process and works as a catalyst for the involvement of the public and private agencies that make up the regional homeless system of care. The Orange County Continuum of Care system consists of 6 basic components:

1. Advocacy on behalf of those who are homeless or at-risk of becoming homeless;
2. A system of outreach, assessment, and prevention for determining the needs and conditions of an individual or family who is homeless;
3. Emergency shelters with appropriate supportive services to help ensure that homeless individuals and families receive adequate shelter and referrals;
4. Transitional housing to assist homeless individuals and families who are not prepared to make the transition to permanent housing and independent living;

5. Permanent housing or permanent supportive housing to help meet the long-term needs of homeless individuals and families; and
6. Reducing chronic homelessness in Orange County and addressing the needs of homeless families and individuals using motels to meet their housing needs.

During FY 2021-22, the City plans to fund street outreach services to reach out to unsheltered homeless people; connect them with emergency shelter, housing or critical services; and provide urgent non-facility-based care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing or an appropriate health facility.

Addressing the emergency shelter and transitional housing needs of homeless persons

The City actively participates in the Orange County CoC by attending meetings to discuss how to establish performance measures that benefit the broader goals of the region. Consistent with the objectives of the countywide CoC, the City's Neighborhood Improvement Division has developed several strategies to address homelessness. Some of the tasks recently undertaken by the City include:

1. Point in Time Survey conducted by the County of Orange and City Net;
2. Development of a brochure for homeless persons that includes an inventory of local community resources; and
3. Collaborating with ESG entitlement jurisdictions within the County of Orange to discuss issues, concerns, and best practices for meeting the needs of the homeless population.

In addition, the City addresses the emergency and transitional housing needs of homeless persons through allocation of its ESG funds. Garden Grove will provide funding to Interval House, which provides domestic violence shelter and support services to victims of domestic violence. In addition, City Net, the City's street outreach service provider will connect homeless individuals and families to local shelters and service providers.

The City mobilizes its Section 8 Housing Choice Voucher Program, to the extent possible, to address the needs of homeless individuals and families. The Housing Authority gives homeless families referred by social service and emergency/transitional shelter programs preference for Section 8 vouchers to assist in transitioning to stable and permanent housing.

The City plans to fund Interval House to provide short to medium term rental assistance for up to 24 months, including up to six months of rental arrears, to homeless individuals and families. Homeless individuals and families will be located in permanent housing while they are given services to increase their income. In addition, Interval House will provide housing relocation, stabilization, case management, legal services for housing needs, and credit repair assistance. All services are designed to seamlessly

transition clients into suitable and stable permanent housing.

Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again

Interval House advocates are specialized in assisting clients with housing search and placement through established operational agreements with over 40 landlords. Clients may be immediately housed in local CoC shelters or access emergency homeless assistance through social services during housing search. All ineligible applicants are offered resources through 2-1-1 County.

As part of the efforts to provide housing for the homeless and those at risk of homelessness, the City of Garden Grove will award ESG funds to service providers who provide rental assistance through the HEART Program. Interval House administers the program and are aiming to assist 20 households over a 12-month period through providing a portion of a household's rent (including security and utility deposits) while offering services to achieve self-sufficiency.

Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); or, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs.

The City works diligently to expand and conserve the affordable housing inventory, especially affordable rental housing that benefits the extremely low- and very low-income households who are most at risk of becoming homeless. Lower-income households referred to the Housing Authority by local transitional housing and emergency shelters are given priority for the Section 8 program. The City will allocate ESG funds to Mercy House to provide homeless prevention services in the form of short to medium term rental assistance for up to 24 months, including up to 6 months of arrears, to individuals and families at imminent risk of homelessness. The housing assistance provided will be located in permanent housing. In addition, funds for homeless prevention will also provide financial assistance such as rental application fees, security deposits and/or services such as case management, housing search and placement, and legal services.

During Fiscal Year 2021-22, the City of Garden Grove will provide Tenant Based Rental Assistance to 17

seniors at-risk of becoming homeless due to the expiration of affordability covenants at the Valley View Senior Villas affordable housing project. The rental assistance will be used to keep the residents in their housing units until permanent, affordable housing accommodations can be secured.

Mercy House will engage persons in need of homeless prevention through referrals from 2-1-1 Orange County and will participate in the Orange County Homeless Provider Forum. To ensure that the most vulnerable are served, eligible households will be those at imminent risk of homelessness, who fall at or below 30% AMI, and have been served a notice of eviction. Mercy House will work with households to increase income, find employment, and set a household budget that will prepare them for long-term stability and to prevent recidivism and homelessness.

There will also be continued rental assistance for persons experiencing homelessness and those at risk of being homeless through the Homeless Emergency Assistance Rental Transition (HEART) Program that Interval House administers. The HEART Program is part of Garden Grove's Comprehensive Four-Point Approach to End Homelessness, which provides rental assistance for persons who are homeless, and those at risk of homelessness. In addition, while receiving services, case managers from Interval House will meet with the household receiving assistance regularly to encourage accomplishments of goals, money savings, and debt payoffs.

Discussion

Refer to responses above.

AP-75 Barriers to affordable housing – 91.220(j)

Introduction:

Development Fees - The fees the City Charges to process and review plans for residential developments may increase the cost of building affordable housing in the jurisdiction. This may, in turn, affect rents, which may become fair market rents.

Development Review and Permit Processing - The review process for building permits can be a constraint to housing development if they place an undue burden on the developer. The longer housing projects take to be built or rehabilitated, the higher the development or rehabilitation cost may become. This could also affect the affordable housing stock due to conversion to market rents.

Environmental Review Process - Environmental factors such as the presence of sensitive biological resources and habitats or geological hazards can constrain residential development in a community by increasing costs and reducing the amount of land suitable for housing construction

Legislative Barriers - AB 1482 legislation was voted into law to prevent arbitrary rental increases on lower-income households. However, due to the 85-day waiting period before the law came into effect on the 1st of January 2020, many tenants were given eviction notices so that their homes could be converted to market rents.

Financing - Economic conditions and national policies determine interest rates for borrowing money for residential developments as well as mortgage rates. This affects the ability to purchase or rehabilitate housing due to increased costs.

Infrastructure Constraints - Public facilities, particularly drainage and sewage, need to be updated and expanded constantly to accommodate the growing number of housing units. Deficiency in sewer capacity, as well as land designations for this essential infrastructure, reduces land that is available for housing development.

Environmental Constraints - The city of Garden Grove is located in a region with a seismic activity that may hinder the development of housing within certain areas. However, it is not located within an Alquist-Priolo Special Study Zone that would affect housing production. The Alquist-Priolo Earthquake Fault Zoning Act of 1972 prevents the construction of buildings used for human occupancy on the surface trace of active faults. The Act prohibits new construction of houses in California within these zones unless a comprehensive geologic investigation shows that the fault does not pose a hazard to the proposed structure.

The city of Garden Grove is within a flood zone, according to The Federal Emergency Management Agency (FEMA) maps. According to FEMA, the term "100-year flood" refers to the flood elevation level that has

a 1% chance of being equaled or exceeded each year. There is a need for additional investment in flood prevention when developing residential units.

Actions it planned to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment

Market and governmental factors pose barriers to the provision of adequate and affordable housing. These factors tend to disproportionately impact lower- and moderate-income households due to their limited resources for absorbing the costs. Garden Grove works to remove barriers to affordable housing by implementing a Housing Element that is consistent with California law and taking actions to reduce costs or provide offsetting financial incentives to assist in the production of safe, high-quality, affordable housing. The City is committed to removing governmental constraints that hinder the production of housing and offers a “one-stop” streamlined permitting process to facilitate efficient entitlement and building permit processing.

The City of Garden Grove has instituted additional actions aimed at reducing the impact of the public sector role in housing costs. City efforts to remove barriers to affordable housing include:

1. Periodical analysis and revision of the zoning code aimed at developing flexible zoning provisions in support of providing an adequate supply of desirable housing, such as mixed-use zoning standards and updates to the Housing Element;
2. Provision of affordable housing projects through acquisition and rehabilitation activities, and new construction of affordable housing units;
3. Establishing a streamlined service counter to reduce the processing time;
4. Density bonuses for affordable projects; and
5. Continued assessment of existing policies, procedures, and fees to minimize unnecessary delays and expenses to housing projects.

Also, the City will use its Analysis of Impediments to Fair Housing Choice (AI) report in coordination with other local jurisdictions. The AI has identified any potential impediments to fair housing and has established a Fair Housing Action Plan to outline steps to overcome any identified impediments.

Discussion:

Refer to responses above.

AP-85 Other Actions – 91.220(k)

Introduction:

This section discusses the City's efforts in addressing underserved needs, expanding and preserving affordable housing, reducing lead-based paint hazards, and developing institutional structure for delivering housing and community development activities.

Actions planned to address obstacles to meeting underserved needs

The major obstacle to addressing underserved needs is the lack of adequate funding, especially for affordable housing activities. With reduced state and federal funding levels, the City's ability to address the extensive needs in the community is seriously compromised. The City will strive to leverage available funds to overcome obstacles in meeting underserved needs. The City continues to use its 2014-2021 Housing Element, which includes a commitment to pursue state, federal, and other funding opportunities to increase the supply of safe, decent, affordable housing in Garden Grove for lower-income households (including extremely low-income households), which includes: senior citizens, disabled, homeless, and those at risk of homelessness.

Actions planned to foster and maintain affordable housing

Garden Grove has several programs in place to increase and preserve the supply of affordable housing for lower-income households. One of these programs produces affordable housing through the acquisition and rehabilitation of existing housing units, as well as the construction of new units. In the past, the City has partnered with nonprofit organizations and housing developers to accomplish this goal. Increased sustainability of existing single-family housing is accomplished through the provision of grants to low-income residents and senior repairs homes.

Actions planned to reduce lead-based paint hazards

The City has an aggressive policy to identify and address lead-based paint hazards in HUD-funded housing rehabilitation projects. A licensed professional for detecting the presence of lead-based paint first inspects all housing units rehabilitated with federal funds. The City ensures lead-safe work practices are used to perform all rehabilitation where lead-based paint is identified. All homes identified as containing lead paint are tested post-rehabilitation to ensure the hazard has been mitigated.

Actions planned to reduce the number of poverty-level families

Garden Grove continues to look for ways to expand economic activities to include all people, including those at or below the poverty line. In the past, the City has focused on the creation of jobs for low- and moderate-income persons through economic development in the Harbor Boulevard area. In recent years,

the Jobs 1st Program was implemented as a resource for businesses to create or retain jobs. The Jobs 1st Program offers financial assistance to for-profit businesses in exchange for them to hire or retain at least one low-income full-time employee.

In addition, other essential elements of the City's anti-poverty strategy include:

1. Section 8 Housing Choice Voucher Program;
2. Housing Choice Voucher Family Self Sufficiency Program;
3. Economic development programs;
4. Workforce Investment Board outreach and training programs;
5. Anti-crime programs;
6. Housing rehabilitation programs;
7. Creation of affordable housing; and
8. Homeless service programs.

Through these programs, the City is working to reduce the number of families living below the poverty line. The goals and strategies contained in this Consolidated Plan aim to fund housing, community development, and community services. In addition, the City will allocate up to 15% of its CDBG funds annually to public service agencies that offer supportive services in an effort to reduce poverty.

Actions planned to develop institutional structure

Successful program implementation requires coordination, both internally and with outside agencies. The City makes changes, as needed, to its staff assignments to address the administrative, planning, and reporting needs of CDBG, HOME, and ESG funds. Project management improvements have included strengthened project eligibility review and staff training of regulatory compliance and procedures. The City of Garden Grove Neighborhood Improvement Division of the Community and Economic Development Department serves as the lead agency in the administration and compliance of CDBG, HOME, and ESG programs and grant management. The Neighborhood Improvement Division coordinates activities related to CDBG, HOME, and ESG funds, including coordination of internal departments, outside agencies, and grant recipients.

The City's ongoing efforts in its institutional structure include strengthening project designs through negotiating stronger and more specific performance goals for project contracts. This includes ongoing education and technical assistance for program stakeholders including fellow City Departments implementing HUD-funded programs, outside contractors, Neighborhood Improvement and Conservation Commission, City Council, and the public. The City also amended the Citizen Participation Plan to make it more readable and to officially designate the City Council as the public hearing body.

Capacity building is another development component within the City's institutional structure. In addition to in-house training and development of improved management systems, the City will continue to

participate in all HUD training offered locally. To gather more information, build staff knowledge, and seek regional solutions to regional problems, the City participates in regional efforts such as the Orange County Continuum of Care for the Homeless.

Actions planned to enhance coordination between public and private housing and social service agencies

Housing, supportive services, and community development activities are delivered by a number of public agencies, nonprofit entities, and private organizations. The City of Garden Grove will continue to function in a coordinating role between local non-profit service providers and other county, state, and federal organizations. To enhance coordination, the City participates in regional planning groups and forums to foster collaboration with other agencies and organizations.

Through collaboration, the City identifies common goals and strategies to avoid overlaps in services and programs and identify potential for leveraging resources. The City also continues to work with a wide range of public and community social service agencies to address the various needs of the community. The City also utilizes the services of 211 Orange County, whose mission is to help people in the community find the help they need by eliminating the barriers to finding and accessing social services.

Discussion:

Refer to responses above.

Program Specific Requirements

AP-90 Program Specific Requirements – 91.220(l)(1,2,4)

Introduction:

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

Community Development Block Grant Program (CDBG)

Reference 24 CFR 91.220(l)(1)

Projects planned with all CDBG funds expected to be available during the year are identified in the Projects Table. The following identifies program income that is available for use that is included in projects to be carried out.

1. The total amount of program income that will have been received before the start of the next program year and that has not yet been reprogrammed	0
2. The amount of proceeds from section 108 loan guarantees that will be used during the year to address the priority needs and specific objectives identified in the grantee's strategic plan.	0
3. The amount of surplus funds from urban renewal settlements	0
4. The amount of any grant funds returned to the line of credit for which the planned use has not been included in a prior statement or plan	1,000,000
5. The amount of income from float-funded activities	0
Total Program Income:	1,000,000

Other CDBG Requirements

1. The amount of urgent need activities	0
2. The estimated percentage of CDBG funds that will be used for activities that benefit persons of low and moderate income. Overall Benefit - A consecutive period of one, two or three years may be used to determine that a minimum overall benefit of 70% of CDBG funds is used to benefit persons of low and moderate income. Specify the years covered that include this Annual Action Plan.	100.00%

HOME Investment Partnership Program (HOME)

Reference 24 CFR 91.220(l)(2)

- 1. A description of other forms of investment being used beyond those identified in Section 92.205 is as follows:**

The City of Garden Grove does not anticipate using forms of investment beyond what is listed in Section 92.205.

- 2. A description of the guidelines that will be used for resale or recapture of HOME funds when used for homebuyer activities as required in 92.254, is as follows:**

The City of Garden grove does not anticipate using HOME funds for home-buyer activities during FY 21-22.

- 3. A description of the guidelines for resale or recapture that ensures the affordability of units acquired with HOME funds? See 24 CFR 92.254(a)(4) are as follows:**

The City of Garden grove does not anticipate using HOME funds for home-buyer activities during FY 21-22.

- 4. Plans for using HOME funds to refinance existing debt secured by multifamily housing that is rehabilitated with HOME funds along with a description of the refinancing guidelines required that will be used under 24 CFR 92.206(b), are as follows:**

The City of Garden grove does not anticipate using HOME funds to refinance existing debt.

**Emergency Solutions Grant (ESG)
Reference 91.220(l)(4)**

1. Include written standards for providing ESG assistance (may include as attachment)

Please see City of Garden Grove Protocols for Administering the Emergency Solutions Grant, included as Appendix C.

2. If the Continuum of Care has established centralized or coordinated assessment system that meets HUD requirements, describe that centralized or coordinated assessment system.

The City of Garden Grove participates in the Orange County Continuum of Care system (CoC). The Orange County CoC has established the Orange County Homeless Management Information System (HMIS), an online database used by homeless and at-risk service providers that records demographic and service usage data and produces an unduplicated count of the people using those services.

3. Identify the process for making sub-awards and describe how the ESG allocation available to private nonprofit organizations (including community and faith-based organizations).

The City, along with the cities of Anaheim, Irvine, Santa Ana and the County of Orange, has developed the Orange County ESG collaborative. During the 5-year Consolidated Plan cycle, the collaborative conducts an open and competitive Request for Proposal process for making sub-awards.

4. If the jurisdiction is unable to meet the homeless participation requirement in 24 CFR 576.405(a), the jurisdiction must specify its plan for reaching out to and consulting with homeless or formerly homeless individuals in considering policies and funding decisions regarding facilities and services funded under ESG.

The City consults with the Continuum of Care, which has former homeless individuals as members. Subrecipients who run the shelters and the rapid re-housing programs in the community have former homeless individuals in their organizations who help shape policies and make decisions about services and programs that receive ESG funding.

5. Describe performance standards for evaluating ESG.

The performance standards for evaluating ESG are described in the Protocols for Administration of The Emergency Solutions Grant, included in Appendix C.

APPENDIX A

SUMMARY OF PUBLIC OUTREACH

**NOTICE OF PUBLIC COMMENT PERIOD AND PUBLIC HEARING
FOR PROPOSED FY 2021-22 ACTION PLAN
FOR USE OF HUD FUNDS**

**GARDEN GROVE NEIGHBORHOOD IMPROVEMENT AND
CONSERVATION COMMISSION
AND
GARDEN GROVE CITY COUNCIL**

The City of Garden Grove is an Entitlement City for the U.S. Department of Housing and Urban Development's (HUD) Community Development Block Grant, HOME Investment Partnership Act, and Emergency Solutions Grant.

On April 26, 2021, at 6:30 p.m., the Garden Grove Neighborhood Improvement and Conservation Commission will hold a Public Hearing in the Council Chambers of the Community Meeting Center, 11300 Stanford Avenue, Garden Grove, to consider the FY 2021-22 Action Plan, covering the period of July 1, 2021, through June 30, 2022. This Action Plan will allocate approximately \$3 million in new HUD funds.

On April 27, 2021, at 6:30 p.m., the City Council will also hold a Public Hearing in the Community Meeting Center, 11300 Stanford Avenue, Garden Grove, to consider the FY 2021-22 Action Plan.

In an effort to protect public health and prevent the spread of the Coronavirus (COVID-19), City Council members will be teleconferencing. Members of the public are asked to consider very carefully before attending this meeting in person and are required to wear face masks and maintain distance from others. Please do not attend this meeting if you have traveled and/or have had direct contact with someone who has traveled to places experiencing high rates of infection or tested positive for Covid-19. The meeting will also be broadcasted live on Spectrum Cable Channel 3 in audio, and live streamed at https://ggcity.org/cgi-bin/city_council/videos_and_agendas.cgi, and on YouTube at <https://www.youtube.com/c/GardenGroveTV3/live>.

Opportunity for Public Review and Comment

From March 26, 2021 through April 27, 2021, the City's FY 2021-2022 Action Plan will be available for public review at the following location:

Due to Covid-19, we are modifying our process for reviewing and providing comments for the FY 2021-2022 Action Plan. Please visit <https://ggcity.org/neighborhood-improvement> to review the FY 2021-2022 Action Plan, and please submit comments electronically to Timothy Throne at timothyt@ggcity.org.

The Community and Economic Development Department will accept written and verbal comments until 3:00 p.m. on April 27, 2021. Please direct any questions or comments to Timothy Throne, at (714) 741-5144 or by email at timothyt@ggcity.org.

/s/ Teresa Pomeroy
City Clerk

Dated:
Publish:

**AVISO DE AUDIENCIA PÚBLICA
REFERENTE AL PLAN DE ACCIÓN PROPUESTO PARA EL AÑO FISCAL
2021-2022
PARA EL USO DE FONDOS DE HUD**

**COMISIÓN DE MEJORIA Y CONSERVACIÓN DE VECINDARIOS DE
GARDEN GROVE
Y
CONSEJO MUNICIPAL DE GARDEN GROVE**

La ciudad de Garden Grove es una ciudad habilitada para la subvención en bloque para el desarrollo comunitario (CDBG), la ley de asociación de inversión HOME (HOME) y la subvención para soluciones de emergencia (ESG) del Departamento de Vivienda y Desarrollo Urbano de los EE. UU. (HUD).

El 26 de abril de 2021, a las 6:30 pm, la Comisión de Conservación y Mejoramiento del Vecindario de Garden Grove llevará a cabo una Audiencia Pública el Centro de Reuniones Comunitarias, 11300 Stanford Avenue, Garden Grove, para considerar el Plan de Acción del año fiscal 2021-22, que abarca el período del 1 de julio de 2021 al 30 de junio de 2022. Este Plan de Acción asignará aproximadamente \$ 3 millones en nuevos fondos de HUD.

El 27 de abril de 2021, a las 6:30 p.m., el Concejo Municipal también llevará a cabo una Audiencia Pública en el Centro de Reuniones Comunitarias, 11300 Stanford Avenue, Garden Grove, para considerar el Plan de Acción del año fiscal 2021-22.

En un esfuerzo por proteger la salud pública y prevenir la propagación del Coronavirus (COVID-19), los miembros del Concejo Municipal realizarán teleconferencias. Se les pide a los miembros del público que consideren detenidamente antes de asistir a esta reunión en persona y se les requiere que usen máscaras faciales y se mantengan alejados de los demás. No asista a esta reunión si ha viajado y / o ha tenido contacto directo con alguien que haya viajado a lugares que con altas tasas de infección o que haya dado positivo por Covid-19. La reunión también se transmitirá en vivo en Spectrum Cable Channel 3 en audio y en vivo en https://ggcity.org/cgi-bin/city_council/videos_and_agendas.cgi, y en YouTube en <https://www.youtube.com/c/GardenGroveTV3/live>.

Oportunidad de revisión y comentarios públicos

Desde el 26 de marzo de 2021 hasta el 27 de abril de 2021, el Plan de Acción de la ciudad para el año fiscal 2021-2022 estará disponible para revisión pública en la siguiente ubicación:

Debido a Covid-19, estamos modificando nuestro proceso para revisar y proporcionar comentarios para el Plan de Acción para el año fiscal 2021-2022. Por favor visite <https://ggcity.org/neighborhood-improvement> para revisar el Plan de Acción para el año fiscal 2021-2022 y envíe sus comentarios por vía electrónica a Timothy Throne a timothyt@ggcity.org.

El Departamento de Desarrollo Económico y Comunitario aceptará comentarios escritos y verbales hasta las 3:00 p.m. el 27 de abril de 2021. Dirija cualquier pregunta o comentario a Timothy Throne, al (714) 741-5144 o por correo electrónico a timothyt@ggcity.org.

/s/ Teresa Pomeroy
City Clerk

Con fecha de:
Publicar:

**THÔNG BÁO BUỔI ĐIỀU TRẦN CHO CÔNG CHÚNG
VỀ KẾ HOẠCH HÀNH ĐỘNG ĐỀ NGHỊ CHO NIÊN KHÓA 2021-22 VỀ
VIỆC DÙNG QUỸ HUD**

**ỦY BAN BẢO TRÌ VÀ CẢI THIẾN KHU XÓM GARDEN GROVE
VÀ
HỘI ĐỒNG THÀNH PHỐ GARDEN GROVE**

Thành phố Garden Grove là một Thành Phố Đặc Quyền thuộc Ban Phát Triển Gia Cư và Đô Thị (HUD) Hoa Kỳ, Trợ Cấp Khu Phố Phát Triển Cộng Đồng (CDBG), Đạo Luật Cộng Tác Đầu Tư HOME (HOME), và các chương trình Trợ Cấp Giải Pháp Khẩn Cấp (ESG).

Vào ngày 26 tháng Tư, 2021, lúc 6:30 chiều, Ủy Ban Bảo Trì và Cải Thiện Khu Xóm Garden Grove sẽ tổ chức một buổi Điều Trần Công Khai tại Phòng Hợp Hội Đồng Thành Phố, địa chỉ là 11300 Stanford Avenue, Garden Grove, để xem xét Kế Hoạch Hành Động cho niên khóa 2021-22, áp dụng cho thời kỳ từ 1 tháng Bảy, 2021, cho tới ngày 30 tháng Sáu, 2022. Kế Hoạch Hành Động này sẽ cấp khoảng \$3 triệu cho quỹ HUD mới.

Vào ngày 27 tháng Tư, 2021, lúc 6:30 chiều, Hội Đồng Thành Phố cũng sẽ tổ chức một buổi Điều Trần Công Khai tại Phòng Hợp Hội Đồng, địa chỉ là 11300 Stanford Avenue, Garden Grove, để xem xét Kế Hoạch Hành Động cho niên khóa 2021-22.

Trong nỗ lực bảo vệ sức khỏe cộng đồng và ngăn chặn sự lây lan của Coronavirus (COVID-19), thành viên Hội đồng Thành phố sẽ tham gia hội nghị qua mạng (teleconferencing). Các thành viên trong cộng đồng được yêu cầu cân nhắc kỹ trước khi trực tiếp tham dự cuộc họp này và phải đeo khẩu trang và giữ khoảng cách với những người khác. Vui lòng không tham dự cuộc họp này nếu quý vị đã đi du lịch và/ hoặc tiếp xúc trực tiếp với người đã đi đến những nơi có tỷ lệ lây nhiễm cao hoặc có kết quả xét nghiệm dương tính với Covid-19. Cuộc họp sẽ được phát trực tiếp trên Spectrum Cable Channel 3 tại

https://ggcity.org/cgi-bin/city_council/videos_and_agendas.cgi, và kênh Youtube tại <https://www.youtube.com/c/GardenGroveTV3/live>.

Cơ Hội cho Công Chúng Xem Duyệt và Góp Ý

Từ ngày 26 tháng Ba, 2021 cho tới ngày 27 tháng Tư, 2021, Kế Hoạch Hành Động đề nghị cho niên khóa 2021-22 sẽ có sẵn để công chúng xem xét tại các địa điểm sau:

Do dịch Covid-19, chúng tôi đang sửa đổi quy trình của chúng tôi để xem xét và cung cấp nhận xét cho việc sửa đổi AP 2021-2022. Vui lòng truy cập <https://ggcity.org/neighborhood-improvement> để xem xét sửa đổi AP 2021-2022, và vui lòng gửi ý kiến trực tiếp bằng cách email cho ông Timothy Throne tại timothyt@ggcity.org.

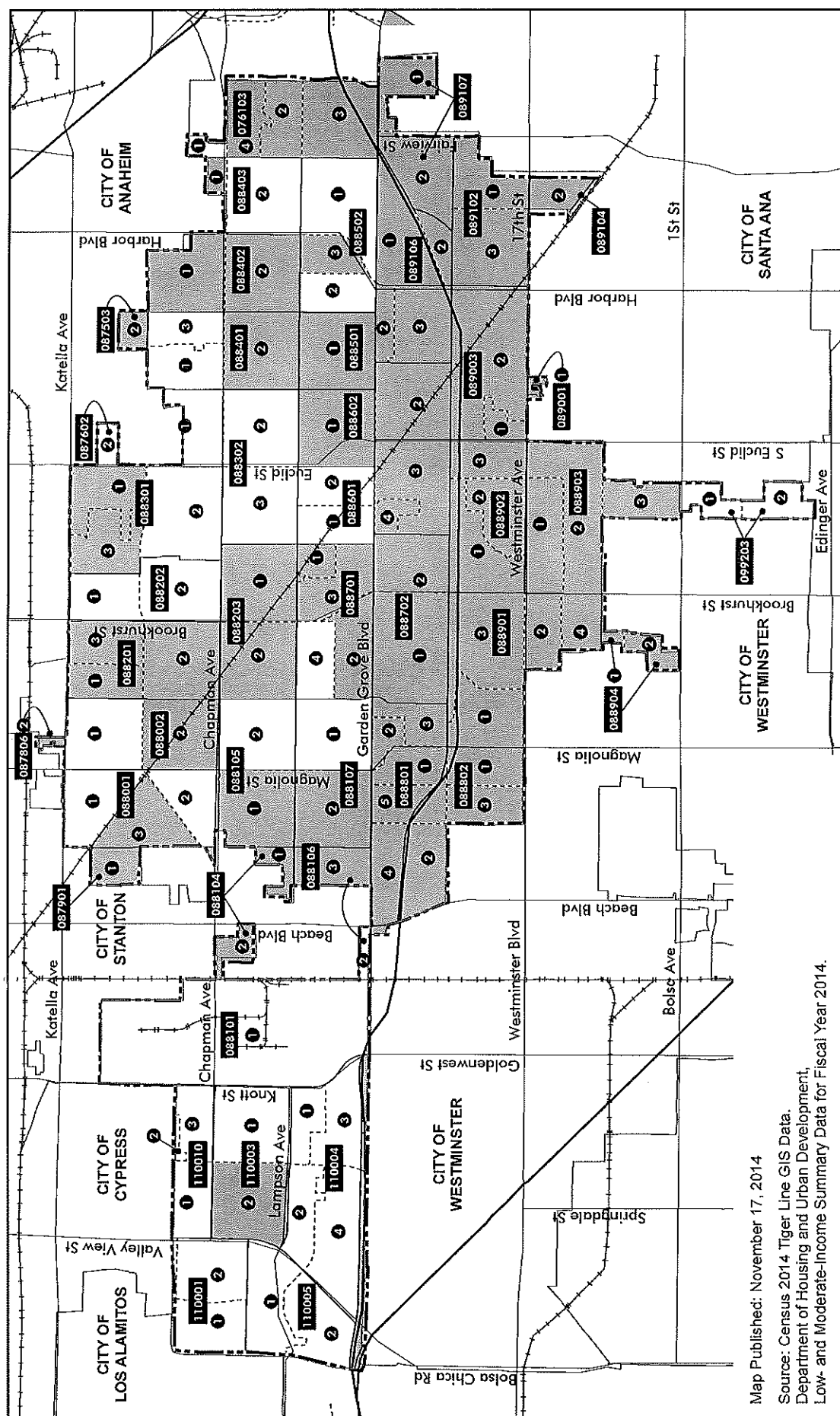
Phòng Phát triển Kinh tế và Cộng đồng sẽ chấp nhận các ý kiến bằng văn bản và bằng lời nói cho đến 3:00 giờ chiều ngày 27 tháng Tư, 2021. Vui lòng liên lạc ông Timothy Throne tại (714) 741-5144 nếu có bất kỳ câu hỏi hoặc nhận xét nào hoặc gửi qua email tại timothyt@ggcity.org.

/s/ Teresa Pomeroy
Thư Ký Thành Phố

Ngày:
Ngày công bố:

APPENDIX B










MAPS OF PROJECTS



City of Garden Grove Lower Income Areas

LEGEND

Lower Income concentration is defined by Census Block Groups with 51% of households that have incomes at or below 80% of the area median income (AMI)

-  Garden Grove City Boundary
 Surrounding City Boundary
 Freeway/Highway
 Major Road
 Railroad
 Census Tract
 Tract Number
 Census Block Group
 Block Group Number

APPENDIX C

EMERGENCY SOLUTIONS GRANT PROTOCOLS



GARDEN GROVE

City of Garden Grove

Protocols for Administering The Emergency Solutions Grant

City of Garden Grove

COMMUNITY DEVELOPMENT DEPARTMENT

NEIGHBORHOOD IMPROVEMENT DIVISION

11222 ACACIA PARKWAY

GARDEN GROVE, CA 92840

OVERVIEW

This document establishes protocols for administering the Emergency Solutions Program (ESG) and replaces previous protocols for the defunct Emergency Shelter Grants Program. The protocols herein incorporate changes in the ESG program pursuant to the Interim Rule (effective January 4, 2012), which established the regulations for the Emergency Solutions Grants Program (ESG). Unlike the former Emergency Shelter Grants Program that emphasized serving the needs of the homeless in emergency or transitional shelters, the focus of the ESG aims at “assisting people to quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness” (Interim Rule, Federal Register / Vol. 76, No. 233. p. 75954).

Regulatory Authority. The Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act of 2009, was promulgated on May 20, 2009, reauthorized and amended the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11371 et seq) consolidating three homeless assistance programs into one grant program and revising the Emergency Shelter Grants program and renaming it as the Emergency Solutions Grants (ESG) program. The HEARTH Act also codifies into law the Continuum of Care planning process.

Effective January 4, 2012, the Homeless Emergency Assistance and Rapid Transition to Housing: Emergency Solutions Grants Program and Consolidated Plan Conforming Amendments interim rule revised the regulations for the Emergency Shelter Grants program by establishing the regulations for the Emergency Solutions Grants program, which replaced the Emergency Shelter Grants program.

Objectives. The ESG Program provides funding to achieve these objectives:

- Engage homeless individuals and families living on the street;
- Improve the number and quality of emergency shelters for homeless individuals and families;
- Help operate these shelters;
- Provide essential services to shelter residents,
- Rapidly re-house homeless individuals and families, and
- Prevent families/individuals from becoming homeless.

Beneficiary Eligibility

City staff will ensure compliance by subrecipients with the minimum eligibility criteria for ESG beneficiaries:

- For essential services related to street outreach, beneficiaries must meet the criteria under paragraph (1)(i) of the “homeless” definition under 24 CFR 576.2, namely:

An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground;

- For emergency shelter, beneficiaries must meet the “homeless” definition in 24 CFR 576.2.

(1) An individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning:

(i) An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground;

(ii) An individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state, or local government programs for low income individuals); or

(iii) An individual who is exiting an institution where he or she resided for 90 days or less and who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution;

(2) An individual or family who will imminently lose their primary nighttime residence, provided that

:(i) The primary nighttime residence will be lost within 14 days of the date of application for homeless assistance;

(ii) No subsequent residence has been identified; and

(iii) The individual or family lacks the resources or support networks, e.g., family, friends, faith-based or other social networks, needed to obtain other permanent housing;

(3) Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who:

(i) Are defined as homeless under section 387 of the Runaway and Homeless Youth Act (42 U.S.C. 5732a), section 637 of the Head Start Act (42 U.S.C. 9832), section 41403 of the Violence Against Women Act of 1994 (42 U.S.C. 14043e–2), section 330(h) of the Public Health Service Act (42 U.S.C. 254b(h)), section 3 of the Food and Nutrition Act of 2008 (7 U.S.C. 2012), section 17(b) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)) or section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a);

(ii) Have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 60 days immediately preceding the date of application for homeless assistance;

(iii) Have experienced persistent instability as measured by two moves or more during the 60-day period immediately preceding the date of applying for homeless assistance; and

(iv) Can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic physical health or mental health conditions, substance addiction, histories of domestic violence or childhood abuse (including neglect), the presence of a child or youth with a disability, or two or more barriers to employment, which include the lack of a high school degree or General Education Development (GED), illiteracy, low English proficiency, a history of incarceration or detention for criminal activity, and a history of unstable employment; or

(4) Any individual or family who:

(i) Is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual's or family's primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence;

(ii) Has no other residence; and

(iii) Lacks the resources or support networks, e.g., family, friends, faith based or other social networks, to obtain other permanent housing.

- For essential services related to emergency shelter, beneficiaries must be "homeless" and staying in an emergency shelter (which could include a day shelter).
- For homelessness prevention assistance, beneficiaries must meet the requirements described in 24 CFR 576.103par. That is, those who meet the criteria under "At Risk of Homelessness", and who have an annual income below 30% of the median family income for the area. At Risk of Homelessness" means an individual or family who has an annual income below 30 percent of median family income for the area, as determined by HUD, and does not have sufficient resources or support networks.
- For rapid re-housing assistance, beneficiaries must meet requirements described in 24 CFR 576.104, that is:

Program participants who meet the criteria under paragraph (1) of the "homeless" definition in § 576.2 or who meet the criteria under paragraph (4) of the "homeless" definition and live in an emergency shelter or other place described in paragraph (1) of the "homeless" definition.

Further eligibility criteria may be established at the local level in accordance with 24 CFR 576.400(e).

Minimum Documentation. The following standards for documenting homelessness are to be monitored by City staff.

Persons living on the street	Certify that the persons served reside on the street.	Provision of services (e.g., outreach, food, health care, clothing) to persons who reside on the streets and not in shelters or other places meant for human habitation), require the outreach or service worker to sign and date a general certification that: <ul style="list-style-type: none">▪ verifies that the services are going to homeless persons, and▪ indicates where the persons served reside.
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Persons coming from living on the street (and into a place meant for human habitation)	Obtain information to indicate that the participant is coming from the street.	<p>You must verify that an individual is coming from the street through:</p> <ul style="list-style-type: none"> ▪ organizations or outreach workers who have assisted him/her in the past; ▪ determining where the resident receives assistance checks, if applicable; and/or ▪ other information regarding the participant's recent past activities. <p>Document your verification efforts! Your staff should prepare a statement that is then signed and dated.</p> <p>As a last resort, if you are unable to verify in this manner that the person is coming from living on the street, the participant or a staff member may prepare a short written statement about the participant's previous living place and have the participant sign the statement and date it.</p>
Persons coming from an emergency shelter Persons coming from a transitional housing	<p>Verify from the emergency shelter staff that the participant has been residing at the emergency shelter.</p> <p>Verify with the transitional housing staff that:</p> <ul style="list-style-type: none"> ▪ the participant has been residing at the transitional housing; and ▪ the participant was living on the streets or in an emergency shelter prior to living in the transitional housing facility or was discharged from an institution or evicted prior to living in the transitional housing and would have been homeless if not for the transitional housing. 	<p>You need to obtain from the referring agency a written, signed, and dated verification that the individual has been a resident of the emergency shelter.</p> <p>You must obtain from the referring agency two written, signed, and dated verifications:</p> <ul style="list-style-type: none"> ▪ a signed statement from the transitional housing staff indicating that the individual had been a resident there; and ▪ the referring agency's written, signed, and dated verification as to the individual's homeless status when he/she entered their program. <p>If the referring agency did not verify the individual's homeless status upon entry into their program, you will need to verify that status yourself. That is, in addition to the written, signed, and dated verification from the referring agency that the individual has been residing in the transitional housing, you need to verify their status upon entry into transitional housing and document that status according to the instructions here.</p> <p>(For example, if the person was living on the streets before moving into the transitional housing, you will need to obtain the documentation required under "Persons coming from living on the street" above).</p>
Persons being evicted from a private dwelling	Have evidence of the eviction proceedings.	<p>You need to obtain two types of information:</p> <ul style="list-style-type: none"> ▪ Documentation of: <ul style="list-style-type: none"> ✓ the income of the participant; ✓ what efforts were made to obtain housing; and ✓ why, without the homeless assistance, the participant would be living on the street or in an emergency shelter. ▪ Documentation of one of the following:

		<ul style="list-style-type: none"> ✓ For formal eviction proceedings, evidence that the participant was being evicted within the week before receiving homeless assistance; ✓ Where a participant's family is evicting, a signed and dated statement from a family member describing the reason for the eviction; ✓ Where there is no formal eviction process (in these cases, persons are considered evicted when they are forced out of the dwelling unit by circumstances beyond their control), two things are needed: <ul style="list-style-type: none"> ▪ a signed and dated statement from the participant describing the situation; and ▪ documentation and verification (through written, signed, and dated statements) of efforts to confirm that these circumstances are true.
Persons from a short term stay (up to 30 consecutive days) in an institution who previously resided on the street or in an emergency shelter	Verify from the institution staff that the participant has been residing at the institution and was homeless before entering the institution	<p>You must obtain:</p> <ul style="list-style-type: none"> ▪ written verification from the situation's staff that the participant has been residing in the institution for less than 31 days; and ▪ information on the previous living situation. Preferably, this will be the institution's written, signed, and dated verification on the individual's homeless status when he/she entered the institution. If the institution's staff did not verify the individual's homeless status upon entry into the institution, you will need to verify that status yourself, according to the instructions above (i.e., if the person was living on the streets before moving into the institution, you will need to obtain the documentation required under "Persons coming from living on the street").
Persons being discharged from a longer stay in an institution	Verify from the institution staff that the participant has been residing at the institution and will be homeless if not provided with assistance.	<p>You need to obtain signed and dated:</p> <ul style="list-style-type: none"> ▪ evidence from the institution's staff that the participant was being discharged within the week before receiving homeless assistance; and ▪ documentation of the following: <ul style="list-style-type: none"> ✓ the income of the participant; ✓ what efforts were made to obtain housing; and ✓ why, without the homeless assistance, the participant would be living on the street or in an emergency shelter.
Persons fleeing domestic violence	Verify that the participant is fleeing a domestic violence situation.	You must obtain written, signed, and dated verification from the participant that he/she is fleeing a domestic violence situation.

If the participant is unable to prepare the verification, you may prepare a written statement about the participant's previous living situation, have the participant sign, and date it.
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SALIENT ESG COMPONENTS

The following summarizes the five allowable ESG components and corresponding activities. Refer to **Exhibit 1** for a detailed summation of ESG components, activities and allowable costs.

- **Street Outreach.** Essential Services necessary to reach out to unsheltered homeless individuals and families, connect them with emergency shelter, housing, or critical services, and provide them with urgent, non-facility-based care. Component services per 24 CFR 576.101 comprise the following:
 - ✓ Engagement,
 - ✓ Case management,
 - ✓ Emergency health and mental health services,
 - ✓ Transportation.
- **Emergency Shelter.** Per 24 CFR 576.102, ESG funds may be used to renovate a building to serve as an emergency shelter. Site must serve homeless persons for at least 3 or 10 years, depending on the cost and type of renovation (major rehabilitation, conversion, or other renovation). Note: Property acquisition and new construction are ineligible.
 - ✓ Essential Services for individuals and families in emergency shelter. Component services generally consist of case management, childcare, education services, employment assistance and job training, outpatient health services, legal services, life skills training, mental health services, substance abuse treatment services, and transportation.
 - ✓ Shelter Operations, including maintenance, rent, security, fuel, equipment, insurance, utilities, and furnishings.
 - ✓ Relocation assistance for persons displaced by a project assisted with ESG funds.
 - ✓ **Homelessness Prevention.** Housing relocation and stabilization services and/or short and/or medium-term rental assistance necessary to prevent the individual or family from moving into an emergency shelter or another place described in paragraph (1) of the “homeless” definition in § 576.2.

Component services and assistance generally consist of short-term and medium-term rental assistance, rental arrears, rental application fees, security deposits, advance payment of last month's rent, utility deposits and payments, moving costs, housing search and placement, housing

stability case management, mediation, legal services, and credit repair. For specific requirements and eligible costs, see 24 CFR 576.103, 576.105, and 576.106.

- **Rapid Re-Housing.** Housing relocation and stabilization services and short and/or medium-term rental assistance as necessary to help individuals or families living in an emergency shelter or other place described in paragraph (1) of the “homeless” definition move as quickly as possible into permanent housing and achieve stability in that housing.

Component services and assistance generally consist of short-term and medium-term rental assistance, rental arrears, rental application fees, security deposits, advance payment of last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case management, mediation, legal services, and credit repair. For specific requirements and eligible costs, see 24 CFR 576.104, 576.105, and 576.106.

The following chart summarizes the ESG components and related activities:

Components	ESG Eligible Activities						
	Renovation/ Rehab	Essential Services	Operations	Housing Relocation & Stabilization/ Financial Assistance	Housing Relocation & Stabilization/ Financial Services	Rental Assistance	
Street Outreach		✓					
Shelter	✓	✓	✓				
Homeless Prevention				✓	✓	✓	
Rapid Re-Housing				✓	✓	✓	

ESG funds are also used for the following:

- **HMIS.** Grant funds may be used for certain Homeless Management Information System (HMIS) and comparable database costs, as specified at 24 CFR 576.107.
- **Administration.** Pursuant to 24 CFR 576.108., up to 7.5% of a recipient's fiscal year grant can be used for administrative activities, such as general management, oversight, coordination, and reporting on the program. State recipients must share administrative funds with their subrecipients who are local governments and may share with their subrecipients who are nonprofit organizations.

SALIENT MONITORING COMPONENTS

City staff will monitor subrecipients to ensure compliance with ESG requirements outlined below.

The Eligibility Evaluation form and the Subrecipient Agreement will include the following performance objective and performance outcome by ESG activity category.

ESG Activity Category in IDIS	Performance Objective		Performance Outcome	
	Create Suitable Living Environments	Provide Decent Affordable Housing	Availability/ Accessibility	Affordability
Shelter	✓		✓	
Street Outreach	✓		✓	
Homeless Prevention		✓		✓
Rapid Re-Housing		✓		✓

Obligation & Expenditure Deadlines

In accordance with 24 CFR 576.203, the City is to adhere to the following deadlines:

ESG Timeliness Requirement	Timeframe
Obligate funds (from the date HUD signs the grant agreement)	60 Days
Select subrecipient organizations	120 Days
Reimburse subrecipient organizations	30 Days
Expend all ESG funds	2 Years

In addition, an Emergency Shelter facility must be maintained and used for the homeless based upon minimum time periods (See 24 CFR 576.102(c)(1)) according to the types of activities assisted with ESG funds. Emergency Shelter Facilities (24 CFR 576.2) comprise facilities primarily intended to provide a temporary shelter for the homeless in general or for specific populations of the homeless and which do not require occupants to sign leases or occupancy agreements.

Emergency Shelter Activities	Timeframe
Major Rehabilitation	10 years after the date the building is first occupied by a homeless individual or family after the completed Rehabilitation, if Rehabilitation costs exceed 75 percent (75%) of the value of the building before Rehabilitation. A recorded deed or use restriction is required.
Conversion	10 years after the date the building is first occupied by a homeless individual or family after the completed Conversion, if Conversion costs exceed 75 percent of the value of the building after Conversion. A recorded deed or use restriction is required.
Renovation	3 years after the date the building is first occupied by a homeless individual or family after the completed Renovation.
Shelter Operations or Essential Services	Term of the Standard Agreement, without regard to a particular site or structure, so long as the Applicant serves the same type of persons (e.g., families with children, unaccompanied youth, veterans, disabled individuals, or victims of domestic violence) or persons in the same geographic area.

GENERAL REQUIREMENTS

Along with monitoring activity eligibility, cost eligibility and proper documentation to support beneficiary eligibility, City staff will also ensure compliance with the following general requirements.

- **Uniform Administrative Requirement.** ESG regulations at 24 CFR 576.407(c) require the governmental agencies apply 24 CFR Part 85, except for 24 CFR 85.24 and 85.42, and program income is to be used as match under 24 CFR 85.25 (g). The requirements of 24 CFR Part 84 apply to Private Nonprofit subrecipients, except for 24 CFR 84.23 and 84.53, and program income is to be used as the non-Federal share under 24 CFR 84.24 (b).
- **Homeless Participation.** Under 24 CFR 576.405 the City is ensure subrecipients provide for the participation of not less than one homeless individual or formerly homeless individual on the Board of Directors or other equivalent policy-making entity, to the extent that the entity considers and makes policies and decisions regarding any facilities, services or other assistance that receives funding under ESG.
- **Program Termination.** The City will review the termination/denial policy in each subrecipient's Written Standards to verify that the following minimal components are included: a progressive discipline warning system, written notices, a formal appeal process, and consideration of the appeal by someone not involved in the original termination. Staff will also monitor each subrecipient's compliance with ESG regulations at 24 CFR 576.402 to ascertain whether persons or families receiving assistance who violate program requirements are terminated only in the most severe cases. The subrecipient is required to terminate assistance in accordance with a formal process that has been established and that recognizes the rights of individuals or families affected.

City staff will monitor compliance with the following area-wide systems coordination requirements pursuant to 24 CFR 576.400.

- **Consultation with CoCs.** Staff will assist subrecipients are to consult with the CoC to (1) determine how ESG funds will be allocated in that region; (2) identify the performance standards for evaluating the outcomes of projects and activities; and (3) identify the funding, policies and procedures for the administration and operation of the HMIS, if appropriate
- **Coordination with Other Targeted Homeless Services.** City staff will monitor subrecipients to verify that other programs are targeted to homeless people in the area covered by the CoC to provide a strategic, community-wide system to prevent and end homelessness for that area.
- **System and Program Coordination with Mainstream Resources.** The subrecipient is to coordinate and integrate ESG-funded activities with mainstream housing, health, social services, employment, education, and youth programs for which families and individuals at risk of homelessness and homeless individuals and families may be eligible.

- **Centralized or Coordinated Assessment.** Each ESG-funded subrecipient is to work with the CoC to ensure the screening, assessment and referral of participants are consistent with the Written Standards. A Victim Service Provider may choose not to use the CoC Centralized or Coordinated Assessment System.
- **Written Standards** .Once the CoC has developed Written Standards in accordance with the requirements outlined in 24 CFR 576.400(e)(2)(3), Each subrecipient is to use the CoC's Written Standards.
- **Participation in HMIS.** The subrecipient is to ensure that data on all persons served and all activities assisted under ESG are entered into the applicable community-wide HMIS in the area in which those persons and activities are located, or a comparable database in accordance with HUD's standards on participation, data collection and reporting under a local HMIS. If the subrecipient is a Victim Service Provider or a Legal Services Provider, it may use a comparable database that collects client level data over time (i.e., longitudinal data) and generates unduplicated aggregate reports based on the data. Information entered into a comparable database must not be entered directly into or provided to an HMIS.

City staff will monitor each subrecipient's compliance with other federal and state requirements set forth at 24 CFR 576.406-576.408.

- Per 24 CFR 576.407(a), the subrecipient is to adhere to the requirements in 24 CFR Part 5, Subpart A, including the nondiscrimination and equal opportunity requirements at 24 CFR 5.105(a). Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 41701u, and implementing regulations at 24 CFR Part 135 apply, except that homeless individuals have priority over other Section 3 residents in accordance with 24 CFR 576.405(c).
- **Faith-Based Activities.** Religious organizations may receive ESG funds if agreeable to providing all eligible ESG activities in a manner that is in accordance with 24 CFR 576.406. ESG funds may not be used for the rehabilitation of structures if those structures are used for inherently religious activities. Where a structure is used for both eligible and inherently religious activities, funds may not exceed the cost of those portions of the rehabilitation that are attributable to eligible activities in accordance with the federal cost accounting requirements. Sanctuaries, chapels, or other rooms the religious congregation uses as its principal place of worship are ineligible for ESG-funded improvements. Disposition of real property after the term of the grant, or any change in use of the property during the term of the grant, is subject to government-wide regulations governing real property disposition (See 24 CFR Parts 84 and 85).

- Organizations that are religious or faith-based are eligible to receive ESG funds but may not engage in inherently religious activities, such as worship, religious instruction, or proselytization as part of the programs or services funded under ESG. Refer to 24 CFR 576.406 for additional details.
- **Affirmative Outreach.** As required under 24 CFR 576.407(b), the subrecipient is to establish procedures that ensure the use of the facilities, assistance, and services are available to all on a nondiscriminatory basis.
- **Displacement, Relocation, and Acquisition.** In accordance with 24 CFR 576.408, the displacement of persons as a result of a Components/Activities assisted with ESG funds must be provided Relocation Assistance pursuant to the URA and 49 CFR Part 24. Temporary relocation is not permitted. No tenant occupant of housing (a dwelling unit) that is converted into an Emergency Shelter may be required to relocate temporarily for a Component/Activity assisted with ESG funds or be required to move to another unit in the same building/complex. The acquisition of real property, whether funded privately or publicly, for a Component/Activity assisted with ESG funds is subject to the URA and the federal government-wide regulations at 49 CFR Part 24, Subpart B. Refer to 24 CFR 576.408 for additional details.
- **Match.** City staff will monitor matching contributions from each subrecipient to verify that the amount of match equals the amount of ESG funds received per 24 CFR 576.201, and that the match sources include any federal source other than the ESG Program, as well as State, local, and private sources (see 24 CFR 576.201).
- **Shelter and Housing Standards.** City staff will require per 24 CFR 576.403 that any ESG-assisted shelter to meet minimum Habitability Standards. Shelters renovated with ESG funds, are to meet State or local government Safety and Sanitation Standards, as applicable, include energy-efficient appliances and materials, as well as incorporate lead-based paint remediation and disclosure requirements.
- **Recordkeeping and Reporting Requirements.** City staff will monitor subrecipients have written policies and procedures to ensure that ESG funds are used in accordance with requirements at 24 CFR 576.500. In addition, sufficient records must be established and maintained to enable HCD and HUD to determine whether ESG requirements are being met. Refer to for additional details. (24 CFR 576.500):
 - ✓ **Homeless status.** Follow written intake procedures to ensure compliance with the homeless definition in § 576.2. The procedures must require documentation at intake of the evidence relied upon to establish and verify homeless status.
 - ✓ **At risk of homelessness status.** For each individual or family who receives ESG homelessness prevention assistance, the records must include the evidence relied upon to establish and verify the individual or family's "at risk of homelessness" status. This evidence must include an intake and certification form that meets HUD specifications.

- ✓ **Determinations of ineligibility.** For each individual and family determined ineligible to receive ESG assistance, the record must include documentation of the reason for that determination.
- ✓ **Annual income.** For each program participant who receives homelessness prevention assistance, or who receives rapid re-housing assistance longer than one year
 - Income evaluation form completed by the subrecipient; and
 - Source documents for the assets held by the program participant and income received over the most recent period (e.g., wage statement, unemployment compensation statement, public benefits statement, bank statement);
 - If source documents are unobtainable, a written statement by the relevant third party (e.g., employer, government benefits administrator) or the written certification by the subrecipient's intake staff of the oral verification by the relevant third party of the income the program participant received over the most recent period for which representative data is available; or
 - If source documents and third party verification are unobtainable, the written certification by the program participant of the amount of income the program participant received for the most recent period representative of the income that the program participant is expected to receive over the 3-month period following the evaluation.
- ✓ **Program participant records.** In addition to evidence of homeless status or "at risk of homelessness" status, as applicable, records must be kept for each program participant that document:
 - The services and assistance provided to program participant, including the security deposit, rental assistance, and utility payments made on behalf of the program participant;
 - Compliance with the applicable requirements for providing services and assistance to program participant under the program components and eligible activities provisions at § 576.101 through § 576.106, the provision on determining eligibility and amount and type of assistance at § 576.401(a) and (b), and the provision on using appropriate assistance and services at § 576.401(d) and (e); and
 - Where applicable, compliance with the termination of assistance requirement in § 576.402.
- ✓ **Centralized or coordinated assessment systems and procedures.** Documentation evidencing written intake procedures for, the centralized or coordinated assessment system(s) developed by the CoC.
- ✓ **Rental assistance agreements and payments.** The records must include copies of all leases and rental assistance agreements for the provision of rental assistance, documentation of payments made to owners for the provision of rental assistance, and supporting documentation for these payments, including dates of occupancy by program participants.
- ✓ **Utility allowance.** The records must document the monthly allowance for utilities (excluding telephone) used to determine compliance with the rent restriction.

- ✓ **Shelter and housing standards.** Documentation of compliance with the shelter and housing standards in § 576.403, including inspection reports.
- ✓ **Emergency shelter facilities.** The amount and type of assistance provided to each emergency shelter.
- ✓ **Services and assistance provided.** Types of essential services, rental assistance, and housing stabilization and relocation services and the amounts spent on these services and assistance. Subrecipients that are units of general-purpose local government must keep records to demonstrate compliance with the maintenance of effort requirement, including records of the unit of the general-purpose local government's annual budgets and sources of funding for street outreach and emergency shelter services.
- ✓ **Coordination with CoC and other programs.** Document their compliance with the requirements of § 576.400 for consulting with the CoC and coordinating and integrating ESG assistance with programs targeted toward homeless people and mainstream service and assistance programs.
- ✓ **HMIS.** Records of the participation in HMIS or a comparable database by all projects.
- ✓ **Matching.** The recipient must keep records of the source and use of contributions made to satisfy the matching requirement in § 576.201. The records must indicate the particular fiscal year grant for which each matching contribution is counted. The records must show how the value placed on third party, noncash contributions was derived. To the extent feasible, volunteer services must be supported by the same methods that the organization uses to support the allocation of regular personnel costs.
- ✓ **Conflicts of interest.** Records to show compliance with the organizational conflicts-of-interest requirements in § 576.404(a), a copy of the personal conflicts of interest policy or codes of conduct developed and implemented to comply with the requirements in § 576.404(b), and records supporting exceptions to the personal conflicts of interest prohibitions.
- ✓ **Homeless participation.** Document compliance with the homeless participation requirements under § 576.405.
- ✓ **Faith-based activities.** Document compliance with the faith-based activities requirements under § 576.406.
- ✓ **Other Federal requirements.** Document compliance with the Federal requirements in § 576.407, as applicable, including:
 - Records demonstrating compliance with the nondiscrimination and equal opportunity requirements under § 576.407(a), including data concerning race, ethnicity, disability status, sex, and family characteristics of persons and households who are applicants for, or program participants in, any program or activity funded in whole or in part with ESG funds and the affirmative outreach requirements in § 576.407(b).
 - Records demonstrating compliance with the uniform administrative requirements in 24 CFR part 85 (for governments) and 24 CFR part 84 (for nonprofit organizations).
 - Records demonstrating compliance with the environmental review requirements, including flood insurance requirements.

- Certifications and disclosure forms required under the lobbying and disclosure requirements in 24 CFR part 87.
- ✓ **Relocation.** Document compliance with the displacement, relocation, and acquisition requirements in § 576.408.
- ✓ **Financial records.**
 - Supportive documentation for all costs charged to the ESG grant.
 - Documentation showing that ESG grant funds were spent on allowable costs in accordance with the requirements for eligible activities under § 576.101-§576.109 and the cost principles in OMB Circulars A-87 (2 CFR part 225) and A-122 (2 CFR part 230).
 - Records of the receipt and use of program income.
 - Documentation of compliance with the expenditure limits in § 576.100 and the expenditure deadline in § 576.203.
- ✓ **Subrecipients and contractors.**
 - The recipient must retain copies of all solicitations of and agreements with subrecipients, records of all payment requests by and dates of payments made to subrecipients, and documentation of all monitoring and sanctions of subrecipients, as applicable. If the recipient is a State, the recipient must keep records of each recapture and distribution of recaptured funds under § 576.501.
 - The recipient and its subrecipients must retain copies of all procurement contracts and documentation of compliance with the procurement requirements in 24 CFR 85.36 and 24 CFR 84.40-84.48.
 - The recipient must ensure that its subrecipients comply with the recordkeeping requirements specified by the recipient and HUD notice or regulations.
- ✓ **Confidentiality.**
 - Written procedures to ensure:
 - ☐ All records containing personally identifying information of any individual or family who applies for and/or receives ESG assistance will be kept secure and confidential;
 - ☐ The address or location of any domestic violence, dating violence, sexual assault, or stalking shelter project assisted under the ESG will not be made public, except with written authorization of the person responsible for the operation of the shelter; and
 - ☐ The address or location of any housing of a program participant will not be made public, except as provided under a preexisting privacy policy of the recipient or subrecipient and consistent with state and local laws regarding privacy and obligations of confidentiality.
 - ☐ Written confidentiality procedures.
- ✓ **Period of record retention.** All records pertaining to each fiscal year of ESG funds must be retained for the greater of 5 years or the period specified below.
 - ☐ Documentation of each program participant's qualification as a family or individual at risk of homelessness or as a homeless family or individual and other program participant records must be retained for 5 years after the expenditure of all funds from the grant under which the program participant was served;

- Where ESG funds are used for the renovation of an emergency shelter involves costs charged to the ESG grant that exceed 75 percent of the value of the building before renovation, records must be retained until 10 years after the date that ESG funds are first obligated for the renovation; and
 - Where ESG funds are used to convert a building into an emergency shelter and the costs charged to the ESG grant for the conversion exceed 75 percent of the value of the building after conversion, records must be retained until 10 years after the date that ESG funds are first obligated for the conversion.
- ✓ **Access to records.**
- **Federal government rights.** Notwithstanding the confidentiality procedures established under paragraph (w) of this section, HUD, the HUD Office of the Inspector General, and the Comptroller General of the United States, or any of their authorized representatives, must have the right of access to all books, documents, papers, or other records pertinent to the ESG grant, in order to make audits, examinations, excerpts, and transcripts. These rights of access are not limited to the required retention period but last as long as the records are retained.
 - **Public rights.** Provide citizens, public agencies, and other interested parties with reasonable access (consistent with state and local laws regarding privacy and obligations of confidentiality and the confidentiality requirements in this part) to records regarding any uses of ESG funds the recipient received during the preceding 5 years.
 - **Reports.** The recipient must collect and report data on its use of ESG funds in the Integrated Disbursement and Information System (IDIS) and other reporting systems, as specified by HUD. The recipient must also comply with the reporting requirements in 24 CFR parts 85 and 91 and the reporting requirements under the Federal Funding Accountability and Transparency Act of 2006, (31 U.S.C. 6101 note), which are set forth in appendix A to 2 CFR part 170.

THE MONITORING PROCESS

Monitoring of ESG-assisted activities takes place on a quarterly and annual basis.

Quarter Reports

Each quarter, subrecipients submit an ESG Subgrantee Report (**Exhibit 2**), which City staff use to monitor performance measured against the requirements initially outlined in the Eligibility Evaluation (**Exhibit 3**) and Subrecipient Agreement (**Exhibit 4**).

Desk Audit

Desk reviews are done at the City and entail a review of reports and other documentation that are submitted to the City that help the City understand how well a project is managed, and whether it is achieving its goals and compliance obligations.

At the close of each program year, City staff issue a monitoring letter (**Exhibit 5: Monitoring Notification Letter: On-Site Visit** or **Exhibit 6: Annual Monitoring Notification Letter: Desk Audit**) will be sent to the subrecipient transmitting the following documents to be completed and returned to the City prior to the scheduled monitoring visit:

- **Monitoring Notification Letter: Desk Audit**
A Monitoring Notification Letter: Desk Audit will be sent to the owner/property manager detailing the salient terms of the Subrecipient Agreement that will be the source of monitoring.
- **Monitoring Checklist**
This report collects information as a basis for conclusions to be included in the Monitoring Summary letter and follow-up (**Exhibit 7: Monitoring Checklist**).
- **Monitoring Summary**
A Monitoring Summary Letter will be provided to the subrecipient that serves as the formal notification of the results of the monitoring. All negative conclusions will be considered a finding or concern with a specific required corrective action. A copy is retained in the Project monitoring file.
 - ✓ A “finding” is a deficiency in project performance evidencing an unmet statutory or regulatory requirement.
 - ✓ A “concern” relates to project performance-requiring improvement before becoming a finding.

The subrecipient is to provide a written response within 30 days of the date of the Monitoring Summary letter. Upon completion of all corrective actions, a letter is sent to the owner/property manager stating that the monitoring findings and concerns have been closed. A copy is retained in the Project monitoring file.

ON-SITE VISIT

On-site monitoring enables the City to conduct a more in-depth level of review than the desk review and entails a visit to the office of the owner or property manager to review documents and source information, as well as observe operations. On-site monitoring is necessary when the risk analysis or desk review suggests that there may be problems, or if a protracted period of time has elapsed since the last visit.

The following steps are to be taken when monitoring **on-site**:

- **Monitoring Notification Letter: On-Site Visit**

A Monitoring Notification Letter: On-Site Visit will be sent to the owner/property manager at least two weeks in advance of the monitoring visit. The letter will detail the salient terms of the Subrecipient Agreement that will be the source of monitoring. The letter will also notify the owner/property manager of the date and time of an interview that will be conducted to make sure that the owner and/or manager thoroughly understands the purpose, scope, and schedule for the monitoring.

In addition to the aforementioned reports, these items also are to be reviewed:

- **Monitoring Summary**

After the monitoring visit, a Monitoring Summary letter is forwarded to the subrecipient that serves as the formal notification of the results of the monitoring. All negative conclusions are considered a finding or concern with a specific required corrective action. If relevant, the letter may stipulate steps initiated by the owner/property manager to correct areas of noncompliance or nonperformance. A copy is retained in the Project monitoring file.

- ✓ A “finding” is a deficiency in project performance evidencing an unmet statutory or regulatory requirement.
- ✓ A “concern” relates to project performance requiring improvement before becoming a finding.

The owner/property manager is to provide a written response within 30 days of the date of the Monitoring Summary letter. Upon completion of all corrective actions, a letter is sent to the owner/property manager stating that the monitoring findings and concerns have been closed. A copy is retained in the Project monitoring file.

APPENDIX

- Exhibit 1:** Summary of Eligible Components, Activities and Expenses
- Exhibit 2:** ESG Subgrantee Report
- Exhibit 3:** Eligibility Evaluation
- Exhibit 4:** Subrecipient Agreement
- Exhibit 5:** Monitoring Notification Letter: On-Site Visit
- Exhibit 6:** Annual Monitoring Notification Letter: Desk Audit
- Exhibit 7:** Monitoring Checklist

Exhibit 1

Summary of Eligible Components, Activities and Expenses

Emergency Solutions Grants Program (ESG) funds may only reimburse cost directly related to the following ESG eligible expenditure program components:

- **Street Outreach** – Unsheltered individuals and families, meaning those who qualify under 24 CFR § 91.5 paragraph (1)(i) of the definition of “homelessness”. Essential Services to eligible participants provided on the street or in parks, abandoned buildings, bus stations, campgrounds, and in other such settings where unsheltered persons are staying. Staff salaries related to carrying out street outreach activities are eligible.
 - ✓ Essential Services – Services necessary to reach out to unsheltered homeless people; connect them with emergency shelters, housing, or critical services; and provide urgent, non-facility-based care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing, or an appropriate health facility.
 - ✓ Engagement – activities to locate, identify, and build relationships with unsheltered homeless people for providing immediate support, intervention, and connections with homeless assistance programs and/or mainstream social services and housing programs.
 - Initial assessment of needs and eligibility
 - Providing crisis counseling
 - Addressing urgent physical needs
 - Actively connecting and providing information and referral
 - Cell phone costs of outreach workers
 - ✓ Case Management – assessing housing and service needs and arranging/coordinating/ monitoring the delivery of individualized services.
 - Using the centralized or coordinated assessment system
 - Initial evaluation/verifying and document eligibility
 - Counseling
 - Developing/Securing/Coordinating Services
 - Helping obtain Federal, state, and local benefits
 - Monitoring/evaluating participant progress
 - Providing information and referral to other providers

- Developing an individualized housing/service plan
- ✓ Emergency Health Services – Outpatient treatment of urgent medical conditions by licensed medical professionals in community-based settings (e.g. streets, parks, and campgrounds) to those eligible participants unwilling or unable to access emergency shelter or an appropriate healthcare facility.
 - Assessing participants' health problems and developing treatment plans
 - Assisting participants to understand their health needs
 - Providing or helping participants obtain appropriate emergency medical treatment
 - Providing medication and follow-up services
- ✓ Emergency Mental Health Services – Outpatient treatment of urgent mental health conditions by licensed professionals in community-based settings (e.g. streets, parks, and campgrounds) to those eligible participants unwilling or unable to access emergency shelter or an appropriate healthcare facility.
 - Crisis Intervention
 - Prescription of psychotropic medications
 - Explain the use and management of medications
 - Combinations of therapeutic approaches to address multiple problems
- ✓ Transportation – Travel by outreach workers, social workers, medical professionals or other service providers during the provision of eligible street outreach services.
 - Transporting unsheltered people to emergency shelters or other service facilities
 - Cost of a participant's travel on public transit
 - Mileage allowance for outreach workers to visit participants
 - Purchasing or leasing a vehicle for use in conducting outreach activities, including the cost of gas, insurance, taxes, and maintenance for the vehicle
 - Costs of staff to accompany or assist participant to use public transportation
- ✓ Services to Special Populations – Otherwise eligible Essential Services that have been tailored to address the special needs of homeless youth, victims of domestic violence, and related crimes/threats, and/or people living with HIV/AIDS who are literally homeless. For all eligible expenses, refer above under Street Outreach.
- **Emergency Shelter** (Includes Emergency Shelters, Transitional Housing & Day Centers) –eligible participants are individuals and families who are homeless. Essential Services to persons in emergency shelters, renovating buildings to be used as emergency shelters, and operating emergency

shelters are eligible costs. Staff costs related to carrying out emergency shelter activities are also eligible.

✓ Essential Services – Services provided to individuals and families who are in an emergency shelter:

□ Case Management – Assessing, arranging, coordinating, and monitoring individualized services.

- Using the centralized or coordinated assessment system
- Initial evaluation including verifying and documenting eligibility
- Counseling
- Developing, securing and coordinating services including Federal, State, and local benefits
- Monitoring and evaluating program participant progress
- Providing information and referrals to other providers
- Providing ongoing risk assessment and safety planning with victims of domestic violence, dating violence, sexual assault and stalking
- Developing an Individualized Housing and Service Plan

□ Childcare – “Licensed” childcare for program participants with children under the age of 13 or disabled children under the age of 18.

- Child care costs
- Meals and snacks
- Comprehensive and coordinated sets of appropriate developmental activities

□ Education Services – Instruction or training to enhance participants’ ability to obtain and maintain housing: literacy, English literacy, GED, consumer education, health education, and substance abuse prevention.

- Educational services/skill-building
- Screening, assessment, and testing
- Individual or group instruction
- Tutoring
- Provision of books, supplies and instructional material
- Counseling
- Referral to community resources

□ Employment Assistance and Job Training – Services assisting participants secure employment and job training programs.

- Classroom, online, and/or computer instruction
 - On the-job instruction
 - Job finding, skill-building
 - Reasonable stipends in employment assistance and job training programs
 - Books and instructional material
 - Employment screening, assessment, or testing
 - Structured job-seeking support
 - Special training and tutoring, including literacy training and pre-vocational training
 - Counseling or job coaching
 - Referral to community resources
- Outpatient Health Services – Direct outpatient treatment of medical conditions provided by licensed medical professionals.
- Assessing health problems and developing a treatment plan Emergency Solutions Grants Eligible Expense Guide
 - Assisting program participants to understand their health needs
 - Providing or helping participants obtain appropriate medical treatment, preventive medical care, and health maintenance services, including emergency medical services
 - Providing medication and follow-up services
 - Providing preventive and non-cosmetic dental care
- Legal Services – Necessary legal services regarding matters that interfere with the program participant's ability to obtain and retain housing.
- Hourly fees for legal advice and representation by licensed attorneys and certain other fees-for-service
 - Client intake, preparation of cases for trial, provision of legal advice, representation at hearings, and counseling
 - Filing fees and other necessary court costs
- Legal Representation – Legal representation and advice to resolve legal problems that prevent participants from obtaining or retaining permanent housing.
- Child support
 - Guardianship
 - Paternity
 - Emancipation
 - Legal separation
 - Resolution of outstanding criminal warrants
 - Appeal of veterans and public benefit claim denials

- Orders of protection and other civil remedies for victims of domestic violence, dating violence, sexual assault, and stalking
- Life Skills Training – Critical life management skills necessary to assist the program participant to function independently in the community.
 - Budgeting resources
 - Managing money
 - Managing household
 - Resolving conflict
 - Shopping for food and needed items
 - Improving nutrition
 - Using public transportation
 - Parenting
- Mental Health Services – Direct outpatient treatment of mental health conditions by licensed professionals.
 - Crisis intervention
 - Individual, family, or group therapy sessions
 - Prescription of psychotropic medications or explanations about the use and management of medications
 - Combinations of therapeutic approaches to address multiple problems
- Substance Abuse Treatment Services – Substance abuse treatment provided by licensed or certified professionals, designed to prevent, reduce, eliminate or deter relapse of substance abuse or addictive behaviors.
 - Client intake and assessment
 - Outpatient treatment for up to thirty days
 - Group and individual counseling
 - Drug testing
- Transportation – Costs of travel by program participants to and from medical care, employment, childcare, or other facilities that provide eligible essential services; and cost of staff travel to support provision of essential services.
 - Cost of program participant's travel on public transportation
 - Mileage allowance for service workers to visit participants
 - Purchasing or leasing a vehicle used for transport of participants and/or staff serving participants, including the cost of gas, insurance, taxes, and maintenance for the vehicle

- Travel costs of staff to accompany or assist program participants to use public transportation
- Services for Special Populations – Otherwise eligible essential services tailored to address the special needs of homeless youth, victims of domestic violence, and related crimes/threats and people living with HIV/AIDS in emergency shelters.
 - See all eligible expenses above under Essential Services
- Rehabilitation and Renovation – Renovating buildings used as emergency shelter for homeless families and individuals.
 - Labor
 - Materials
 - Tools
 - Other costs for renovation, including soft costs
 - Major rehabilitation of an emergency shelter
 - Conversion of a building into an emergency shelter
- Shelter Operations – Costs to operate and maintain emergency shelter activities and also provide other emergency lodging when appropriate.
 - Maintenance (including minor or routine repairs)
 - Rent
 - Security
 - Fuel
 - Insurance
 - Utilities
 - Food
 - Furnishings
 - Equipment
 - Supplies necessary for the operation of emergency shelter activities
 - Hotel and motel voucher for family or individuals Note:* Hotel or motel vouchers are only eligible when no appropriate emergency shelter is available.
- Assistance Required under URA – Assistance required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) as described in subpart E of the interim regulations.
 - Costs of providing URA assistance under 24 CFR § 576.408, including relocation payments and other assistance to persons displaced by a project assisted with ESG funds.

(Note: Persons that receive URA assistance are not considered “program participants” for the purposes of this part of ESG and relocation payments and other URA assistance are not considered “rental assistance” or “housing relocation and stabilization services” for the purposes of this part under ESG.

- **Homelessness Prevention** – individuals and families who are at imminent risk or at risk of homelessness, meaning those who qualify under 24 CFR 576.2 paragraph (1) of the homeless definition or those who qualify as at risk of homelessness. Individuals and families must have an income below 30% of AMI. Short and medium-term rental assistance and housing relocation and stabilization services are eligible activities. Staff salaries related to carrying out homelessness prevention activities are also eligible.
- **Housing Relocation and Stabilization Services**
 - **Financial Assistance**
 - Moving Costs – moving costs, such as truck rental or hiring a moving company, including certain temporary storage fees.
 - Rent Application Fees – application fee that is charged by the owner to all applicants.
 - Security Deposit – equal to no more than 2 months’ rent.
 - Last Month’s Rent – paid to the owner of housing at the time security deposit and first month’s rent are paid.
 - Utility Deposit – standard utility deposit required by the utility company for all customers (i.e. gas, electric, water/sewage).
 - Utility Payments – up to 24 months of utility payments per participant per service (i.e. gas, electric, water/sewage), including a 1 time payment up to 6 months of arrearages, per service.
 - **Services**
 - Housing Search and Placement
 - Assessment of housing barriers, needs and preferences
 - Development of an action plan for locating housing
 - Housing search and outreach to and negotiation with owner
 - Assistance with submitting rental applications and understanding leases
 - Assessment of housing for compliance with ESG requirements for habitability, lead based paint and rent reasonableness
 - Assistance with obtaining utilities and making moving arrangements
 - Tenant counseling

- Housing Stability Case Management – Assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability
 - Using the centralized or coordinated assessment system conduct the initial evaluation and reevaluation
 - Counseling
 - Developing, securing, and coordinating services including Federal, state, and local benefits
 - Monitoring and evaluating program participant progress
 - Providing information and referrals to other providers
 - Developing an Individualized Housing and Service Plan

- Mediation – Mediation between the program participant and the owner or person(s) with whom the program participant is living, to prevent the program participant from losing permanent housing in which they currently reside.
 - Time and/or services associated with mediation activities

- Legal Services – legal services that are necessary to resolve a legal problem that prohibits the program participant from obtaining or maintaining permanent housing.
 - Hourly fees for legal advice and representation
 - Fees based on the actual service performed (i.e. fee for service), but only if the cost would be less than the cost of hourly fees
 - Client intake, preparation of cases for trial, provision of legal advice, representation at hearings, and counseling
 - Filing fees and other necessary court costs
 - Subrecipient's employees' salaries and other costs necessary to perform the series, if the subrecipient is a legal services provider and performs the services itself

- Legal Representation may be provided for:
 - Landlord/tenant matters
 - Child support
 - Guardianship
 - Paternity
 - Emancipation
 - Legal Separation
 - Resolution of outstanding criminal warrants
 - Orders of protection and other civil remedies for victims of domestic violence, dating violence, sexual assault, and stalking

- Appeal of veterans and public benefit claim denials
 - Credit Repair – services necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems (Note: Assistance cannot include the payment or modification of a debt).
 - Credit counseling
 - Other related Services
- Short and Medium-Term Rental Assistance
 - Short-Term Rental Assistance -up to 3 months
 - Medium-Term Rental Assistance – 4 to 24 months
 - Payment of Rental Arrears – Onetime payment up to 6 months, including any late fees on those arrears
 - Any Combination of the Three Types of Rental Assistance Above – Total not to exceed 24 months during any 3-year period, including any payment for last month's rent.
- **Rapid Re-Housing** – individuals and families who are literally homeless, meaning those who qualify under 401(1) McKinney-Vento Act of the definition of homeless. Short and medium-term rental assistance and housing relocation and stabilization services are eligible activities. Staff salaries related to carrying out Rapid Re-Housing activities are also eligible.
 - ✓ Relocation and Stabilization Services above.
 - ✓ Short and Medium-Term Rental Assistance – See Short and Medium-Term Rental Assistance above.
- **HMIS** – the HEARTH Act makes HMIS participation a statutory requirement for ESG subrecipients. Victim service providers cannot and Legal Services Organizations may choose not to, participate in HMIS. Providers that do not participate in HMIS must use a comparable database that produces unduplicated, aggregate reports instead. Activities funded under this component must comply with HUD's standards on participation, data collection and reporting under a local HMIS.
 - ✓ Hardware, Equipment and Software Costs
 - Purchasing or leasing computer software
 - Purchasing software or software licenses
 - Purchasing or leasing equipment, including telephones, faxes, and furniture

✓ Staffing: Paying salaries for operating HMIS, including:

- ☐ Data collection
- ☐ Completing data entry
- ☐ Monitoring and reviewing data quality
- ☐ Completing data analysis
- ☐ Reporting to the HMIS Lead
- ☐ Training staff on using the HMIS or comparable database
- ☐ Implementing and complying with HMIS requirements

✓ Training and Overhead

- ☐ Obtaining technical support
- ☐ Leasing office space
- ☐ Paying charges for electricity, gas, water, phone service and high-speed data transmission necessary to operate or contribute data to HMIS
- ☐ Paying costs of staff to travel to and attend HUD-sponsored and HUD-approved training on HMIS and programs authorized by Title IV of the McKinney-Vento Homeless Assistance Act
- ☐ Paying staff travel costs to conduct intake
- ☐ Paying participation fees charged by the HMIS Lead

▪ **Administration**

✓ General Management / Oversight / Coordination – Costs of overall program management, coordination, monitoring, and evaluation

- ☐ Administrative services performed under third party contracts or agreements, including general legal services, accounting services, and audit services
- ☐ Other costs for goods and services required for administration of the program, including rental or purchase of equipment, insurance, utilities, office supplies, and rental and maintenance (but not purchase) of office space
- ☐ Staff salaries, wages, and related costs of staff engaged in eligible program administration activities

✓ Training on ESG Requirements

- ☐ Costs of providing training on ESG requirements and attending HUD-sponsored ESG trainings

✓ Consolidated Plan

- Costs of preparing and amending the ESG and homelessness related sections of the consolidated plan in accordance with ESG requirements and 24 CFR part 91

✓ Environmental Review

- Costs of carrying out the environmental review responsibilities under 24 CFR § 576.407 of the HUD regulations

▪ **Ineligible Costs.**

✓ Emergency Shelter

- Legal Services Ineligible Costs:

- Legal Services for immigration and citizenship matters
- Issues related to mortgages
- Retainer fee arrangements and contingency fee arrangements
- Substance abuse treatment services for inpatient detoxification and other inpatient drug or alcohol treatment are ineligible costs

✓ Homelessness Prevention and Rapid Re-housing

- Housing Relocation and Stabilization Services Ineligible Costs:

- Payment of temporary storage fees in arrears
- No financial assistance to a household for a purpose and time period supported by another public source
- Credit Repair assistance does not include the payment or modification of a debt

- Rental Assistance Ineligible Cost:

- Late payment penalties.

✓ Administration

- General management / Oversight / Coordination Ineligible Cost:

Purchase of office space.

Exhibit 2

ESG Subgrantee Report

(See Attachment)

Exhibit 3

Eligibility Evaluation

<u>PROJECT INFORMATION</u>		
APPLICANT CONTACT INFORMATION	Agency/Program:	
	Contact Person/Title:	
	Street Address:	
	City, State, Zip:	
	Telephone & Email:	
PROJECT DESCRIPTION	This program funds ----	
OUTCOME STATEMENT	During FY 2014-15, the subrecipient will implement the ---- Program to assist ---- persons.	
OBJECTIVE CATEGORY	<input type="checkbox"/> Suitable Living Environment <input checked="" type="checkbox"/> Decent Housing <input type="checkbox"/> Economic Opportunity <input type="checkbox"/> NA	
OUTCOME CATEGORY	<input checked="" type="checkbox"/> Availability/Accessibility <input type="checkbox"/> Affordability <input type="checkbox"/> Sustainability <input type="checkbox"/> NA	
PERFORMANCE INDICATOR	<input checked="" type="checkbox"/> New (continuing) Access <input type="checkbox"/> NA <input type="checkbox"/> Improved Access <input type="checkbox"/> Receiving a service or benefit no longer substandard	
PROJECT LOCATION (See Attached Map):		

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity		Allowable Costs
Street Outreach				
<input type="checkbox"/> Essential Services (24 CFR 576.101). Includes the provision of Essential Services to unsheltered homeless individuals (those who qualify under 24 CFR 91.5 paragraph (1)(i) of the definition of "homelessness"); connect the homeless with emergency shelter, housing, or critical services; and provide urgent non-facility-based care to unsheltered homeless individuals unwilling or unable to access emergency shelter, housing or an appropriate health facility.	<input type="checkbox"/>	Engagement. The cost of activities to locate, identify, and build relationships with unsheltered homeless people for the purpose of providing immediate support, intervention, and connections with homeless assistance programs and/or mainstream social services and housing programs.		<input type="checkbox"/> Initial assessment of needs and eligibility <input type="checkbox"/> Providing crisis counseling <input type="checkbox"/> Addressing urgent physical needs <input type="checkbox"/> Actively connecting and providing information and referral <input type="checkbox"/> Cell phone costs of outreach workers
	<input type="checkbox"/>	Case Management. Assessing housing and service needs and arranging/coordinating/ monitoring the delivery of individualized services.		<input type="checkbox"/> Initial evaluation/verifying and document eligibility <input type="checkbox"/> Counseling <input type="checkbox"/> Developing/Securing/Coordinating Services <input type="checkbox"/> Helping obtain Federal, state, and local benefits <input type="checkbox"/> Monitoring/evaluating participant progress <input type="checkbox"/> Providing information and referral to other providers <input type="checkbox"/> Developing an individualized housing/service plan
	<input type="checkbox"/>	Emergency Health Services. Outpatient treatment of urgent medical conditions by licensed medical professionals in community based settings (e.g. streets, parks, and campgrounds) to eligible participants unwilling or unable to access emergency shelter or an appropriate healthcare facility.		<input type="checkbox"/> Assessing participants' health problems and developing treatment plans <input type="checkbox"/> Assisting participants to understand their health needs <input type="checkbox"/> Providing or helping participants obtain appropriate emergency medical treatment <input type="checkbox"/> Providing medication and follow-up services
	<input type="checkbox"/>	Emergency Health Services and Emergency Mental Health Services. Outpatient treatment of urgent mental health conditions by licensed professionals in community-based settings (e.g. streets, parks, and campgrounds) to eligible participants unwilling or unable to access emergency shelter or an appropriate healthcare facility		<input type="checkbox"/> Crisis Intervention <input type="checkbox"/> Prescription of psychotropic medications <input type="checkbox"/> Explain the use and management of medications <input type="checkbox"/> Combinations of therapeutic approaches to address multiple problems

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity	Allowable Costs
Street Outreach (continued)			
<input type="checkbox"/> \		<input type="checkbox"/> Transportation. Travel by outreach workers, social workers, medical professionals or other service providers while providing eligible street outreach services	<input type="checkbox"/> LMA Transporting unsheltered people to emergency shelters or other service facilities <input type="checkbox"/> Cost of a participant's travel on public transit <input type="checkbox"/> Mileage allowance for outreach workers to visit participants <input type="checkbox"/> Purchasing or leasing a vehicle for use in conducting outreach activities, including the cost of gas, insurance, taxes, and maintenance for the vehicle <input type="checkbox"/> Costs of staff to accompany or assist participant to use public transportation
		<input type="checkbox"/> Services to Special Populations. Otherwise eligible Essential Services that have been tailored to address the special needs of homeless youth, victims of domestic violence, and related crimes/threats, and/or people living with HIV/AIDS who are literally homeless.	<input type="checkbox"/> Identify specific costs; all eligible expenses above under Street Outreach

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity		Allowable Costs
Emergency Shelter (Includes Emergency Shelters, Transitional Housing & Day Centers)				
<input type="checkbox"/> Essential Services. Provided to persons in emergency shelters, renovating buildings to be used as emergency shelters, and operating emergency shelters	<input type="checkbox"/>	Case Management. Assessing, arranging, coordinating, and monitoring individualized services.	<input type="checkbox"/>	<input type="checkbox"/> Using the centralized or coordinated assessment system <input type="checkbox"/> Initial evaluation including verifying and documenting eligibility <input type="checkbox"/> Counseling <input type="checkbox"/> Developing, securing and coordinating services including Federal, State, and local benefits <input type="checkbox"/> Monitoring and evaluating program participant progress <input type="checkbox"/> Providing information and referrals to other providers <input type="checkbox"/> Providing ongoing risk assessment and safety planning with victims of domestic violence, dating violence, sexual assault and stalking <input type="checkbox"/> Developing an Individualized Housing and Service Plan
	<input type="checkbox"/>	Child Care. "Licensed" child care for program participants with children under the age of 13 or disabled children under the age of 18.	<input type="checkbox"/>	<input type="checkbox"/> Child care costs <input type="checkbox"/> Meals and Snacks <input type="checkbox"/> Comprehensive coordinated sets of appropriate developmental activities
	<input type="checkbox"/>	Education Services. Instruction or training to enhance participants' ability to obtain and maintain housing: literacy, English literacy, GED, consumer education, health education and substance abuse prevention.	<input type="checkbox"/>	<input type="checkbox"/> Educational services/skill-building <input type="checkbox"/> Screening, assessment, and testing <input type="checkbox"/> Individual or group instruction <input type="checkbox"/> Tutoring <input type="checkbox"/> Provision of books, supplies and instructional material <input type="checkbox"/> Counseling <input type="checkbox"/> Referral to community resources
	<input type="checkbox"/>	Employment Assistance and Job Training. Services assisting participants secure employment and job training programs.	<input type="checkbox"/>	<input type="checkbox"/> Classroom, online, and/or computer instruction <input type="checkbox"/> On the-job instruction <input type="checkbox"/> Job finding, skill-building <input type="checkbox"/> Reasonable stipends in employment assistance job training programs <input type="checkbox"/> Books and instructional material <input type="checkbox"/> Employment screening, assessment, or testing <input type="checkbox"/> Structured job-seeking support <input type="checkbox"/> Special training, tutoring including literacy training, re-vocational training <input type="checkbox"/> Counseling or job coaching <input type="checkbox"/> Referral to community resources

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity		Allowable Costs
Emergency Shelter (Includes Emergency Shelters, Transitional Housing & Day Centers) (continued)				
		<input type="checkbox"/> Outpatient Health Services. Direct outpatient treatment of medical conditions provided by licensed medical professionals.		<input type="checkbox"/> Assessing health problems and developing a treatment plan <input type="checkbox"/> Providing or helping participants obtain appropriate medical treatment, preventive medical care, and health maintenance services, including emergency medical services <input type="checkbox"/> Providing medication and follow-up services <input type="checkbox"/> Providing preventive and non-cosmetic dental care
		<input type="checkbox"/> Legal Services. Necessary legal services regarding matters that interfere with the program participant's ability to obtain and retain housing		<input type="checkbox"/> Hourly fees for legal advice and representation by licensed attorneys and certain other fees-for-service <input type="checkbox"/> Client intake, preparation of cases for trial, provision of legal advice, representation at hearings, and counseling <input type="checkbox"/> Filing fees and other necessary court costs
		<input type="checkbox"/> Legal Representation. Legal representation and advice to resolve legal problems that prevent participants from obtaining or retaining permanent housing.		<input type="checkbox"/> Child support <input type="checkbox"/> Guardianship <input type="checkbox"/> Paternity <input type="checkbox"/> Emancipation <input type="checkbox"/> Legal separation <input type="checkbox"/> Resolution of outstanding criminal warrants <input type="checkbox"/> Appeal of veterans and public benefit claim denials <input type="checkbox"/> Orders of protection and other civil remedies for victims of domestic violence, dating violence, sexual assault, and stalking
		<input type="checkbox"/> Life Skills Training. Critical life management skills necessary to assist the program participant to function independently in the community.		<input type="checkbox"/> Budgeting resources <input type="checkbox"/> Managing money <input type="checkbox"/> Managing household <input type="checkbox"/> Resolving conflict <input type="checkbox"/> Shopping for food and needed items <input type="checkbox"/> Improving nutrition <input type="checkbox"/> Using public transportation <input type="checkbox"/> Parenting

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity		Allowable Costs
Emergency Shelter (Includes Emergency Shelters, Transitional Housing & Day Centers) (continued)				
..	<input type="checkbox"/>	Mental Health Services. Direct outpatient treatment of mental health conditions by licensed professionals		<input type="checkbox"/> Crisis intervention <input type="checkbox"/> Individual, family, or group therapy sessions <input type="checkbox"/> Prescription of psychotropic medications or explanations about the use and management of medications <input type="checkbox"/> Combinations of therapeutic approaches to address multiple problems
	<input type="checkbox"/>	Substance Abuse Treatment Services. Substance abuse treatment provided by licensed or certified professionals, designed to prevent, reduce, eliminate or deter relapse of substance abuse or addictive behaviors		<input type="checkbox"/> Client intake and assessment <input type="checkbox"/> Outpatient treatment for up to thirty days Group and individual counseling <input type="checkbox"/> Drug testing
	<input type="checkbox"/>	Transportation. Costs of travel by program participants to and from medical care, employment, child care, or other facilities that provide eligible essential services; and cost of staff travel to support provision of essential services.		<input type="checkbox"/> Cost of program participant's travel on public transportation <input type="checkbox"/> Mileage allowance for service workers to visit participants <input type="checkbox"/> Purchasing or leasing a vehicle used for transport of participants and/or staff serving participants, including the cost of gas, insurance, taxes, and maintenance for the vehicle <input type="checkbox"/> Travel costs of staff to accompany or assist program participants to use public transportation
	<input type="checkbox"/>	Services for Special Populations. Otherwise eligible essential services tailored to address the special needs of homeless youth, victims of domestic violence, and related crimes/threats and people living with HIV/AIDS in emergency shelters.		<input type="checkbox"/> See all eligible expenses above under Essential Services
	<input type="checkbox"/>	Rehabilitation and Renovation. Renovating buildings to be used as emergency shelter for homeless families and individuals.		<input type="checkbox"/> Labor <input type="checkbox"/> Materials <input type="checkbox"/> Tools <input type="checkbox"/> Other costs for renovation, including soft costs <input type="checkbox"/> Major rehabilitation of an emergency shelter <input type="checkbox"/> Conversion of a building into an emergency shelter

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity		Allowable Costs
Emergency Shelter (Includes Emergency Shelters, Transitional Housing & Day Centers) (continued)				
<input type="checkbox"/> Shelter Operations	<input type="checkbox"/>	Shelter Operations. Costs to operate and maintain emergency shelter activities and also provide other emergency lodging when appropriate. * <i>*Hotel or motel vouchers are only eligible when no appropriate emergency shelter is available</i>	<input type="checkbox"/>	Maintenance (including minor or routine repairs) <input type="checkbox"/> Rent <input type="checkbox"/> Security <input type="checkbox"/> Fuel <input type="checkbox"/> Insurance <input type="checkbox"/> Utilities <input type="checkbox"/> Food <input type="checkbox"/> Furnishings <input type="checkbox"/> Equipment <input type="checkbox"/> Supplies necessary for the operation of emergency shelter activities
<input type="checkbox"/> Assistance Required under URA.	<input type="checkbox"/>	Assistance Required under URA. Assistance required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) as described in subpart E of the interim regulations	<input type="checkbox"/>	Costs of providing URA assistance under 24 CFR § 576.408, including relocation payments and other assistance to persons displaced by a project assisted with ESG funds. * <i>*Persons that receive URA assistance are not considered "program participants" for the purposes of this part of ESG and relocation payments and other URA assistance are not considered "rental assistance" or "housing relocation and stabilization services" for the purposes of this part under ESG.</i>

ACTIVITY ELIGIBILITY (check at least one)		Allowable		Allowable
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applicable category)		Activity	Costs
Homelessness Prevention (24 CFR 576.103) and Rapid Re-Housing (24 CFR 576.104)			
<input type="checkbox"/> Housing Relocation and Stabilization Services	<input type="checkbox"/>	<input type="checkbox"/> Financial Assistance	<input type="checkbox"/> Moving Costs. Moving costs, such as truck rental or hiring a moving company, including certain temporary storage fees. <input type="checkbox"/> Rent Application Fees. Application fee that is charged by the owner to all applicants. <input type="checkbox"/> Security Deposit. Equal to no more than 2 months' rent. <input type="checkbox"/> Last Month's Rent. Paid to the owner of housing at the time security deposit and first month's rent are paid. <input type="checkbox"/> Utility Deposit. Standard utility deposit required by the utility company for all customers (i.e. gas, electric, water/sewage). <input type="checkbox"/> Utility Payments. Up to 24 months of utility payments per participant per service (i.e. gas, electric, water/sewage), including a 1 time payment up to 6 months of arrearages, per service.
		<input type="checkbox"/> Services: Housing Search and Placement:	<input type="checkbox"/> Assessment of housing barriers, needs and preferences <input type="checkbox"/> Development of an action plan for locating housing <input type="checkbox"/> Housing search and outreach to and negotiation with owner <input type="checkbox"/> Assistance with submitting rental applications and understanding leases <input type="checkbox"/> Assessment of housing for compliance with ESG requirements for habitability, lead based paint, and rent reasonableness <input type="checkbox"/> Assistance with obtaining utilities and making moving arrangements <input type="checkbox"/> Tenant counseling <input type="checkbox"/> Assessment of housing barriers, needs and preferences
		<input type="checkbox"/> Housing Stability Case Management. Assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability	<input type="checkbox"/> Using the centralized or coordinated assessment system conduct the initial evaluation and reevaluation

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity		Allowable Costs
Homelessness Prevention (24 CFR 576.103) and Rapid Re-Housing (24 CFR 576.104) (continued)				
				<input type="checkbox"/> Counseling <input type="checkbox"/> Developing, securing, and coordinating services including Federal, state, and local benefits <input type="checkbox"/> Monitoring and evaluating program participant progress <input type="checkbox"/> Providing information and referrals to other providers <input type="checkbox"/> Developing an Individualized Housing and Service Plan
		Services: Mediation.		<input type="checkbox"/> Time and/or services associated with mediation activities between the program participant and the owner or person(s) with whom the program participant is living, to prevent the program participant from losing permanent housing in which they currently reside.
		<input type="checkbox"/> Legal Services. Legal services that are necessary to resolve a legal problem that prohibits the program participant from obtaining or maintaining permanent housing		<input type="checkbox"/> Hourly fees for legal advice and representation <input type="checkbox"/> Fees based on the actual service performed (i.e. fee for service), but only if the cost would be less than the cost of hourly fees <input type="checkbox"/> Client intake, preparation of cases for trial, provision of legal advice, representation at hearings and counseling
		<input type="checkbox"/> Services: Legal Representation		<input type="checkbox"/> Landlord/tenant matters <input type="checkbox"/> Child support <input type="checkbox"/> Guardianship <input type="checkbox"/> Paternity <input type="checkbox"/> Emancipation <input type="checkbox"/> Legal Separation <input type="checkbox"/> Resolution of outstanding criminal warrants <input type="checkbox"/> Orders of protection and other civil remedies for victims of domestic violence, dating violence, sexual assault and stalking

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity	Allowable Costs
Homelessness Prevention (24 CFR 576.103) and Rapid Re-Housing (24 CFR 576.104) (continued)			
<input type="checkbox"/>		<input type="checkbox"/> Services: Credit Repair. Services necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems* <i>* Assistance cannot include the payment or modification of a debt.</i>	<input type="checkbox"/> Credit counseling <input type="checkbox"/> Other related Services
<input type="checkbox"/>	Short and Medium-Term Rental Assistance	<input type="checkbox"/> Short-Term Rental Assistance. Extended up to 3 months	<input type="checkbox"/> Rental Assistance: rental assistance and rental arrears <input type="checkbox"/> rental application fees, security and utility deposits, utility payments, last month's rent, moving costs
		<input type="checkbox"/> Medium-Term Rental Assistance. Extended 4 to 24 months	
		<input type="checkbox"/> Payment of Rental Arrears. Onetime payment up to 6 months, including any late fees on those arrears	
		<input type="checkbox"/> Any Combination of the Three Types of Rental Assistance Above. Total not to exceed 24 months during any 3 year period, including any payment for last month's rent.	
HMIS (24 CFR 576.107)			
<input type="checkbox"/>	HMIS. The HEARTH Act makes HMIS participation a statutory requirement for ESG subrecipients. Activities funded under this component must comply with HUD's standards on participation, data collection and reporting under a local HMIS.	<input type="checkbox"/> Hardware, Equipment and Software Costs	<input type="checkbox"/> Purchasing or leasing computer software <input type="checkbox"/> Purchasing software or software licenses <input type="checkbox"/> Purchasing or leasing equipment, including telephones, faxes, and furniture
		<input type="checkbox"/> Staffing: Paying salaries for operating HMIS	<input type="checkbox"/> Data collection <input type="checkbox"/> Completing data entry <input type="checkbox"/> Monitoring and reviewing data quality <input type="checkbox"/> Completing data analysis <input type="checkbox"/> Reporting to the HMIS <input type="checkbox"/> Training staff on using the HMIS or comparable database <input type="checkbox"/> Implementing and complying with HIMIS requirements

ACTIVITY ELIGIBILITY (check at least one applicable category)		Allowable Activity	Allowable Costs
HMIS (24 CFR 576.107) (continued)			
		<input type="checkbox"/> Training and Overhead	<input type="checkbox"/> Obtaining technical support <input type="checkbox"/> Leasing office space <input type="checkbox"/> Paying charges for electricity, gas, water, phone service and high speed data transmission necessary to operate or contribute data to HMIS <input type="checkbox"/> Paying costs of staff to travel to and attend HUD-sponsored and HUD approved training on HMIS and programs authorized by Title IV of the McKinney-Vento Homeless Assistance Act <input type="checkbox"/> Paying staff travel costs to conduct intake <input type="checkbox"/> Paying participation fees charged by the HMIS

Is the project an ineligible activity? (Double-check that it is none of the following.) (570.207)	
<input type="checkbox"/>	Emergency Shelter Legal Services:
<input type="checkbox"/>	Legal Services for immigration and citizenship matters
<input type="checkbox"/>	Issues related to mortgages
<input type="checkbox"/>	Retainer fee arrangements and contingency fee arrangements
<input type="checkbox"/>	Substance abuse treatment services for inpatient detoxification and other inpatient drug or alcohol treatment are ineligible costs
<input type="checkbox"/>	Homelessness Prevention and Rapid Re-housing/ Housing Relocation and Stabilization Services:
<input type="checkbox"/>	Payment of temporary storage fees in arrears
<input type="checkbox"/>	No financial assistance to a household for a purpose and time period supported by another public source
<input type="checkbox"/>	Credit Repair assistance does not include the payment or modification of a debt
<input type="checkbox"/>	Rental Assistance
<input type="checkbox"/>	Late payment penalties.
<input type="checkbox"/>	Administration
<input type="checkbox"/>	General management / Oversight / Coordination
<input type="checkbox"/>	Purchase of office space.
<input type="checkbox"/>	Bad debts (e.g., late fees shown on invoices), , grant writing, public relations events, staff training, attending conferences, advertising, and entertainment

PROJECT FUNDING/ MATCHING REQUIREMENT (24 CFR 576.201)		
Subrecipient's estimated cost:		
Recommended ESG funding:		
Match sources (amount & source):*		
*Matching contributions in an amount that equals the amount of ESG funds applied for, and awarded. Matching		

contributions may be obtained from any source, including any federal source other than the ESG Program, as well as State, local, and private sources.		
ESG share of City's estimated total cost		
CONSOLIDATED OR ACTION PLAN		
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the project consistent with a priority need or objective identified in the Consolidated Plan? If not, a Plan amendment will be needed, following the Citizen Participation Plan. Identify the priority:	
<input type="checkbox"/> Yes <input type="checkbox"/> No	Is the project identified in the current Action Plan or as a previous Action Plan activity for which there are still sufficient funds? If not, if this is a "substantial amendment" per the Citizen Participation Plan, a Plan amendment will be needed to implement the project.	
CONTINUUM OF CARE CONSULTATION (24 CFR 576.400(a))		
<input type="checkbox"/> Yes <input type="checkbox"/> No	Project is consistent with local CoC: (1) determine how ESG funds will be allocated in that region; (2) identify the performance standards for evaluating the outcomes of projects and activities; and (3) identify the funding, policies and procedures for the administration and operation of the HMIS, if appropriate (24 CFR 576.400(a)).	
<input type="checkbox"/> Yes <input type="checkbox"/> No	Subrecipient has coordinated and integrated, to the maximum extent practicable, ESG-funded activities with other programs targeted to homeless people in the area covered by the CoC to provide a strategic, community-wide system to prevent and end homelessness for the area (24 CFR 576.400(c)).	
<input type="checkbox"/> Yes <input type="checkbox"/> No	Subrecipient has coordinated and integrated, to the maximum extent practicable, ESG-funded activities with mainstream housing, health, social services, employment, education, and youth programs for which families and individuals at risk of homelessness and homeless individuals and families may be eligible (24 CFR 576.400(d)).	
<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	If the CoC has developed Written Standards in accordance with the requirements outlined in 24 CFR 576.400(e)(2)(3), is the subrecipient using those written standards.	
<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> NA	If the CoC has not yet established its Written Standards, has subrecipient established and applied written standards for providing ESG Assistance per 24 CFR 576.400 (e)(2)(3).	
Participation in HMIS		
<input type="checkbox"/> Yes <input type="checkbox"/> No	The subrecipient has ensured that data on all persons served and all activities assisted under ESG are entered into the HMIS. If subrecipient is a Victim Service Provider or a Legal Services Provider, it may use a comparable database that collects client level data over time (i.e., longitudinal data) and generates unduplicated aggregate reports based on the data. Information entered into a comparable database must not be entered directly into or provided to an HMIS (24 CFR 576.400(f)).	

RECOMMENDATION AND COMMENTS			
<u>Comments:</u>			

PREPARER'S SIGNATURE			
Signature:		Date:	
Name:		Title:	

CITY REVIEWER SIGNATURE			
Signature:		Date:	
Name:		Title:	

CITY REVIEWER SIGNATURE			
Signature:		Date:	
Name:		Title:	

ATTACHMENTS			
.			

Exhibit 4
Subrecipient Agreement

**EMERGENCY SOLUTIONS GRANT PROGRAM
SUBRECIPIENT AGREEMENT
BETWEEN THE CITY OF GARDEN GROVE
AND (Insert Organization)
FOR (Insert activities that are being funded)**

This agreement is made and entered into this (Insert date), by and between the CITY OF GARDEN GROVE, a municipal corporation of the State of California, hereinafter referred to as "CITY," and (Insert name of Subrecipient), a nonprofit corporation under the laws of the State of California, hereinafter referred to as "SUBRECIPIENT."

RECITALS

The following recitals are a substantive part of this agreement:

1. The CITY has applied for and received funds, Community Development Block Grant (CDBG), CFDA No. 14.218, and Emergency Solution Grant (ESG), CFDA No. 14.231, from the U.S. Department of Housing and Urban Development (HUD) under subtitle B of Title IV of the McKinney-Vento Homeless Assistance Act of 1974, (42 U.S.C. 11371-11378); and
2. The CITY's Annual Action Plan submitted to HUD includes the PROJECT described herein and indicates that a portion of the funds, received from HUD shall be allocated to SUBRECIPIENT; and
3. HUD has accepted and certified the aforementioned Annual Action Plan; and
4. The CITY wishes to engage the SUBRECIPIENT to provide (Insert activities that are being funded) , as set forth in CITY's Annual Action Plan, in accordance with the Scope of Services (Attachment A) of this agreement (the "PROJECT"); and
5. The provision of this service is an eligible expenditure of available Emergency Solutions Grant (ESG) Program funds, Catalogue of Federal Domestic Assistance (CFDA) 14.231, of the CITY, required to carry out the purpose of the ESG Program under 24 CFR 576.1.

AGREEMENT

The parties mutually agree as follows:

1. **Term of Agreement.** This agreement shall cover services rendered from (Insert start date of agreement) until (Insert date that the contract will expire). The term of this agreement and the provisions herein shall be extended to cover any additional time period during which the SUBRECIPIENT remains in control of ESG funds or other assets, including program income. Subrecipient shall remain obligated to perform such duties as would normally extend beyond the end date of reimbursable activities, including, but not limited to, indemnification, audits, reporting, and accounting.
2. **Services to be Provided.** As a condition of receiving ESG funding pursuant to this agreement, the SUBRECIPIENT shall perform all the services necessary to administer the PROJECT as described in the CITY's Annual Action Plan and as set forth in the Scope of Services described in Attachment A to this agreement, a copy of which is attached hereto

and incorporated herein by this reference. The Scope of Services includes the following components:

- 2.1 Activities. The SUBRECIPIENT will be responsible for administering the services with Fiscal (Insert year) ESG Program funds to qualified Garden Grove residents in a manner satisfactory to the CITY and consistent with any and all standards required as a condition of providing these funds, the terms of this agreement, and all applicable Federal, State and local laws, guidelines, policies and regulations.
 - a. Program Delivery. The Scope of Services includes a description of each activity eligible under the ESG Program, the products or services to be performed, where they are to be provided, for whom they are to be provided, and how many they are to be provided.
 - b. General Administration. A description of the SUBRECIPIENT's general administrative services to be performed in support of the activities is noted in the Scope of Services. A schedule for the completion of these services and goals is included in the Scope of Services. The services will include activities eligible under the ESG Program.
- 2.2 The Eligible Expense Guide The Eligible Expense Guide, attached hereto as Attachment B and incorporated herein by reference, details what activities are eligible for reimbursement with ESG funds, and includes the following components:
 - a. Eligible Activities. A complete description of each activity eligible under the ESG Program, the products or services to be performed, where the services are to be provided and for how long services are to be provided.
 - b. Participant Qualifications. A description of client qualification to receive ESG services, including the definitions of "at risk" and "homeless", and maximum gross household income.
- 2.3 Emergency Solutions Program Objectives. All activities funded with ESG funds are limited to ones that increase the number and quality of emergency shelters and transitional housing facilities for homeless individuals and families and to operate these facilities, and provide essential social services, homelessness prevention and rapid rehousing services.
- 2.4 Level of Accomplishment-Goals and Performance Measures. The Scope of Services includes measurements for each activity per quarter and year-to-date.
- 2.5 Performance Monitoring. The CITY will monitor the performance of the SUBRECIPIENT against goals and performance standards required herein. Substandard performance as determined by the CITY will constitute non-compliance with this agreement. If action to correct such substandard performance is not taken by the SUBRECIPIENT within a reasonable period of time after being notified by the CITY, Agreement suspension or termination procedures will be initiated.

3. Disbursement of Funds. SUBRECIPIENT shall receive ESG Funds as follows:

- 3.1 Amount. It is expressly agreed and understood that the total amount to be paid by the CITY under this agreement shall not exceed (Insert amount funded to

Subrecipient). Payment may be contingent upon certification of the SUBRECIPIENT's financial management system in accordance with the standard specified in 2 CFR Part 200.

3.2 **Not to Exceed.** ESG Funds under this agreement shall not exceed **(Insert amount funded)**. If the costs of services provided exceed **(Insert amount funded)**, the SUBRECIPIENT shall pay all additional costs. If the cost of services provided is less than **(Insert amount funded)**, the CITY shall retain all unused funds.

3.3 **Budget.** Drawdowns for the payment of eligible expenses shall be made in accordance with the line item budgets specified in the Project Budget set forth in Attachment A hereto, and in accordance with the payment procedures set forth in Section 5.10 of this agreement.

3.4 **Prohibition of Subrecipient Income from ESG Funds.** Subrecipient agrees that it shall not use ESG Funds in any manner which shall provide income to Subrecipient, other than Program Income. Any earned interest income on funds generated through the use of investment of funds received from ESG shall be cause, at the discretion of the City, for recapture of such income and/or the full amount of funds originally granted to Subrecipient.

4. General Conditions. During the performance of this agreement, the SUBRECIPIENT agrees as follows:

4.1 **General Compliance.** The SUBRECIPIENT agrees to comply with applicable Uniform Administrative Requirements of Title 2 of the Code of Federal Regulations as well as the requirements of Title 24 of the Code of Federal Regulations, Part 576 (the U.S. Housing and Urban Development regulations concerning the Emergency Solutions Grant Program (ESG) including 24 CFR 576.407 of these regulations, except that (1) the SUBRECIPIENT does not assume the recipient's environmental responsibilities described in 24 CFR 576.407 (d) and (2) the SUBRECIPIENT does not assume the recipient's responsibility for initiating the environmental review process under the provisions of 24 CFR Part 52. The SUBRECIPIENT also agrees to comply with all other applicable federal, state and local laws, regulations, and policies governing the funds provided under this agreement. The SUBRECIPIENT further agrees to utilize funds available under this agreement to supplement rather than supplant funds otherwise available.

Subrecipient shall keep itself fully informed of and in compliance with all local, state, and federal laws, rules, and regulations in any manner affecting the performance of the Agreement or the ESG Program, including all Cal/OSHA requirements, and shall give all notices required by law. Subrecipient shall be liable for all violations of such laws and regulations in connection with performing work related to the Agreement or ESG Program. If Subrecipient performs any work or services in violation of such laws, rules, and regulations, Subrecipient shall be solely responsible for all penalties and costs arising therefrom. Subrecipient shall defend, indemnify, and hold City, its officials, officers, employees, agents and volunteers, free and harmless from any claim or liability arising out of any failure or alleged failure to comply with such laws, rules, or regulations.

4.2. **Notices.** All notices or other communications required or permitted hereunder shall be in writing, and shall be personally delivered or mailed to the below listed addresses,

or to such other addresses as may be designated by written notice. These addresses shall be used for delivery of service of process.

Address of CITY is as follows:

With One (1) Copy to:

City of Garden Grove
Attn: Neighborhood Improvement
Division, 3rd Floor
Community and Economic
Development Department
11222 Acacia Parkway
Garden Grove, CA 92840-5208

City of Garden Grove
Attn: City Attorney
City Attorney's Office
11222 Acacia Parkway
Garden Grove, CA 92840-5208

Address of SUBRECIPIENT:

(Name of Subrecipient)
Attn: (Contact name)
(Contact title)
(Address)

- 4.3. Independent Contractor. Nothing contained in this agreement is intended to, or shall be construed in any manner, as creating or establishing the relationship of employer/employee between the parties. The SUBRECIPIENT shall at all times remain an independent contractor with respect to the services to be performed under this agreement. All persons employed for the performance of services and functions hereunder shall be officers, agents, or employees (including volunteers) of SUBRECIPIENT and shall not be deemed to be those of CITY; no CITY officer, agent, or employee shall be under control or supervision of SUBRECIPIENT, and no SUBRECIPIENT officers, agents or employees (including volunteers), shall have any entitlement to wages, pension, civil service, or any status or rights with CITY. The CITY shall be exempt from payment of all Unemployment Compensation, FICA, retirement, life and/or medical insurance and Workers' Compensation Insurance, as the SUBRECIPIENT is an independent contractor.
- 4.4. Licensing. Prior to performing any services or work hereunder Subrecipient shall obtain all licenses, permits, qualifications, and approvals of whatever nature that are legally required to perform the work and services required by this Agreement and ESG Funds. Subrecipient represents and warrants to City that Subrecipient shall, at its sole cost and expense, keep in effect at all times during the term of this Agreement and any extension, any license, permit, qualification, or approval that is legally required for Subrecipient to perform the work and services required or authorized by this Agreement or ESG Funds. Subrecipient shall have the sole obligation to pay for any fees, assessments, and taxes, plus applicable penalties and interest, which may be imposed by law and arise from or are necessary for the Subrecipient's performance of the work and services required or authorized by this Agreement or ESG Funds, and shall defend, indemnify, and hold the City, its officials, officers, employees, agents and volunteers, free and harmless from and against any claim or liability arising out of any failure or alleged failure to obtain such license, permits, and approvals of whatever nature that are legally required to perform the work or services set forth in the ESG Program.
- 4.5. Ineligibility of Subrecipient or Contractors. Subrecipient shall not use ESG Funds directly or indirectly in its operations or to employ, award contracts to, or

otherwise engage the services of, or fund any contractor during any period of debarment, suspension, or placement in ineligibility status of the Subrecipient or such contractor under the provisions of the applicable federal regulations governing ESG funds, projects, or programs.

- 4.6 Prohibition of Expending ESG Funds to Obtain Other Funding. Subrecipient shall in no event expend ESG Funds granted hereunder to fund another service provider, to pay a contractor for services outside the scope of this Agreement, to apply for other public agencies' program funds, or to supplant another funding source, unless expressly approved by the City.
- 4.7 Unauthorized Aliens. Subrecipient represents and warrants that it will comply with all of the provisions of the Federal Immigration and Nationality Act, 8 U.S.C.A. §§1101, et seq., as amended, and in connection therewith, shall not employ unauthorized aliens as defined therein. Should Subrecipient so employ such unauthorized aliens for the performance of any work and/or services under this Agreement, and should any liability or sanctions be imposed against City for such use of unauthorized aliens, Subrecipient hereby agrees to reimburse City for any and all liabilities, actions, suits, claims, demands, losses, costs, judgments, arbitration awards, settlements, damages, demands, orders, or penalties which arise out of or are related to such employment, together with any and all costs, including attorneys' fees, incurred by City.
- 4.8 Hold Harmless. SUBRECIPIENT agrees to protect, defend, and hold harmless CITY and its elective or appointive boards, officers, agents, and employees from any and all claims, liabilities, expenses, or damages of any nature, including attorneys' fees, for injury or death of any person, or damage to property, or interference with use of property, arising out of, or in any way connected with performance of the Agreement by SUBRECIPIENT, SUBRECIPIENT's agents, officers, employees, subcontractors, or independent contractors hired by SUBRECIPIENT. The only exception to SUBRECIPIENT's responsibility to protect, defend, and hold harmless CITY, is due to the sole negligence of CITY, or any of its elective or appointive boards, officers, agents, or employees. This hold harmless agreement shall apply to all liability regardless of whether any insurance policies are applicable. The policy limits do not act as a limitation upon the amount of indemnification to be provided by SUBRECIPIENT.
- 4.9 Commencement of Work: SUBRECIPIENT shall not commence work under this Agreement until all certificates and endorsements have been received and approved by the CITY. All insurance required by this Agreement shall contain a Statement of Obligation on the part of the carrier to notify the CITY of any material change, cancellation, or termination at least thirty (30) days in advance. All subcontractors, consultants, and agents shall be required to provide the same insurance as that required of the SUBRECIPIENT. SUBRECIPIENT shall be responsible to collect and maintain all insurance required of all subcontractors, consultants, and agents.
- 4.10 Insurance: For the ~~the~~ duration of this agreement SUBRECIPIENT shall maintain the following insurance.
- a. Workers Compensation Insurance. SUBRECIPIENT shall maintain workers compensation insurance in the amount and type required by California law, if

applicable.

- b. Commercial General Liability in an amount not less than \$1,000,000 per occurrence; (claims made and modified occurrence policies are not acceptable); Insurance companies must be acceptable to CITY and have an A.M. Best's Guide Rating of A-, Class VII or better, as approved by CITY.
- c. Automobile Liability in an amount not less than \$1,000,000 combined single limit; (claims made and modified occurrence policies are not acceptable); Insurance companies must be acceptable to CITY and have an A.M. Best's Guide Rating of A-, Class VII or better, as approved by CITY.
- d. Sexual Misconduct in an amount not less than \$1,000,000 per occurrence; (claims made and modified occurrence policies are not acceptable); Insurance companies must be acceptable to CITY and have a Best's Guide Rating of A-, Class VII or better, as approved by CITY (claims made and modified occurrence policies are not acceptable); Insurance companies must be acceptable to CITY and have an A.M. Best's Guide Rating of A-, Class VII or better, as approved by CITY. (IF APPLICABLE)
- e. Professional Liability in an amount not less than \$1,000,000 per occurrence/per claim; Insurance companies must be acceptable to CITY and have a Best's Guide Rating of A-, Class VII or better, as approved by the CITY.
- f. Directors & Officers Liability in an amount not less than \$1,000,000 per occurrence/per claim; Insurance companies must be acceptable to CITY and have an A.M. Best's Guide Rating of A-, Class VII or better, as approved by the CITY.

Additional Insured Endorsements and Loss Payee Endorsement:

An additional insured Endorsement for on-going and products-completed operations under the commercial general liability policy (Subsection "b" above) shall designate the City of Garden Grove and its officers, officials, employees, agents, and volunteers as additional insureds for liability arising out of work or operations performed by or on behalf of SUBRECIPIENT. SUBRECIPIENT shall provide to CITY proof of insurance and endorsement forms that conform to CITY's requirements, as approved by the CITY.

An Additional Insured Endorsement for automobile liability policies (Subsection "c" above) shall designate the City of Garden Grove and its officers, officials, employees, agents, and volunteers as additional insureds for automobiles owned, leased, hired, or borrowed by SUBRECIPIENT. SUBRECIPIENT shall provide to CITY proof of insurance and endorsement forms that conform to City's requirements, as approved by CITY.

SUBRECIPIENT shall provide to CITY endorsements from each insurance carrier wherein the insurance carrier shall give CITY thirty (30) days advanced written notice of any material change, cancellation, or termination of coverage.

For any claims related to this Agreement, SUBRECIPIENT's insurance coverage shall be primary insurance as respects the City of Garden Grove, and its

officers, officials, employees, agents, and volunteers. Any insurance or self-insurance maintained by the CITY, its officers, officials, employees, agents, or volunteers shall be excess of the SUBRECIPIENT'S insurance and shall not contribute with it. Claims made and modified occurrence policies are not acceptable.

IF SUBRECIPIENT maintains higher insurance limits than the minimums shown above, SUBRECIPIENT shall provide coverage for the higher insurance limits otherwise maintained by the SUBRECIPIENT.

- 4.11 City Recognition. The SUBRECIPIENT shall insure recognition of the role of the CITY in providing services through this agreement. All activities, facilities and items utilized pursuant to this agreement shall be prominently labeled as to funding source. In addition, the SUBRECIPIENT will include a reference to the support provided herein in all publications made possible with funds made available under this agreement.
- 4.12 Amendments. The CITY or SUBRECIPIENT may amend this agreement at any time provided that such amendments make specific reference to this agreement, and are executed in writing, signed by a duly authorized representative of each organization, and approved by the CITY's governing body. Such amendments shall not invalidate this agreement, nor relieve or release the CITY or SUBRECIPIENT from its obligations under this agreement.

The CITY may, in its discretion, amend this agreement to conform with federal, state or local governmental guidelines, policies and available funding amounts, or for other reasons. If such amendments result in a change in the funding, the scope of services, or schedule of the activities to be undertaken as part of this agreement, such modifications will be incorporated only by written amendment signed by both CITY and SUBRECIPIENT.

- 4.13 Suspension or Termination. In accordance with 2 CFR 200.338, the CITY may suspend or terminate this agreement if the SUBRECIPIENT materially fails to comply with any terms of this agreement, which include (but are not limited to) the following:
- a. Failure to comply with any of the rules, regulations or provisions referred to herein, or such statutes, regulations, executive orders, and HUD guidelines, policies or directives as may become applicable at any time;
 - b. Failure, for any reason, of the SUBRECIPIENT to fulfill in a timely and proper manner its obligations under this agreement;
 - c. Ineffective or improper use of funds provided under this agreement; or
 - d. Submission by the SUBRECIPIENT to the CITY reports that are incorrect or incomplete in any material respect.

In accordance with 2 CFR 200.339, this agreement may also be terminated for convenience by either the CITY or the SUBRECIPIENT, in whole or in part, by setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if in the case of a partial termination, the CITY determines that the remaining portion of

the award will not accomplish the purpose for which the award was made, the CITY may terminate the award in its entirety.

5. Administrative Requirements

Financial Management

- 5.1. Accounting Standards. The SUBRECIPIENT agrees to comply with 2 CFR 200.302 and all other applicable provisions of 2 CFR Part 200 and agrees to adhere to the accounting principles and procedures required therein, utilize adequate internal controls, and maintain necessary source documentation for all costs incurred.
- 5.2. Cost Principles. The SUBRECIPIENT shall administer its program in conformance with 2 CFR Part 200 as it pertains to all costs incurred whether charged on a direct or indirect basis.

Documentation and Record Keeping

- 5.3. Records to be Maintained. The SUBRECIPIENT shall maintain all records required by the federal regulations specified in 24 CFR 576.500 that are pertinent to the activities to be funded under this agreement. Such records shall include but not be limited to:
 - a. Records providing a full description of each activity undertaken;
 - b. Records demonstrating that each activity undertaken meets the Purpose of the ESG Program;
 - c. Records required to determine the eligibility of activities;
 - d. Records required to document the acquisition, improvement, use or disposition of real property acquired or improved with ESG assistance;
 - e. For homeless prevention activities, records documenting evidence of an eviction, foreclosure, or utility termination notice(s) and evidence that the inability to pay was sudden, necessary to prevent homelessness, and resumption of payment is reasonably expected within the near future;
 - f. Financial records as required by and 2 CFR Part 200;
 - g. Records to document homelessness status to determine the eligibility of persons served by the ESG Program; and
 - h. Other records necessary to document compliance with 24 CFR Part 576.57.
- 5.4. Retention. The SUBRECIPIENT shall retain all financial records, supporting documents, statistical records, and all other records pertinent to the agreement for a period of four (4) years. The retention period begins on the date of the submission of the CITY's annual performance and evaluation report to HUD in which the activities assisted under the agreement are reported on for the final time. Notwithstanding the above, if there is litigation, claims, audits, negotiations or other actions that involve any of the records cited and that have started before the expiration of the four-year period, then such records must be retained until

completion of the actions and resolution of all issues, or the expiration of the four-year period, whichever occurs later.

- 5.5. Client Data. The SUBRECIPIENT shall maintain client data demonstrating client eligibility for services provided. Such data shall be inputted into the Homeless Management Information System (HMIS) within 48 hours of service by SUBRECIPIENT and include, but not be limited to, client name, address, income level or other basis for determining eligibility, and description of service provided. Such information shall be made available to CITY monitors or their designees for review upon request. (If applicable)
- 5.6. Disclosure. The SUBRECIPIENT understands that client information collected under this agreement is private and the use or disclosure of such information, when not directly connected with the administration of the CITY's or SUBRECIPIENT's responsibilities with respect to services provided under this agreement, is prohibited by the all applicable state and federal law unless written consent is obtained from such person receiving service and, in the case of a minor, that of a responsible parent/guardian.
- 5.7. Closeouts. The SUBRECIPIENT's obligation to the CITY shall not end until all closeout requirements are completed. Activities during this closeout period shall include, but are not limited to: Making final payments, disposing of program assets (including the return of all unused materials, equipment, unspent cash advances, program income balances, and accounts receivable to the CITY), and determining the custodianship of records. Notwithstanding the foregoing, the terms of this agreement shall remain in effect during any period that the SUBRECIPIENT has control over ESG funds.
- 5.8. Audits and Inspections. All SUBRECIPIENT records with respect to any matters covered by this agreement shall be made available to the CITY, grantor agency, and the Comptroller General of the United States or any of their authorized representatives, at any time during normal business hours, as often as deemed necessary, to audit, examine, and make excerpts or transcripts of all relevant data. Any deficiencies noted in audit reports must be fully cleared by the SUBRECIPIENT within 30 days after receipt by the SUBRECIPIENT. Failure of the SUBRECIPIENT to comply with the above audit requirements will constitute a violation of this agreement and may result in the withholding of future payments. The SUBRECIPIENT hereby agrees to have an annual agency audit conducted in accordance with current CITY policy concerning SUBRECIPIENT audits and 2 CFR Part 200 subparts A-F.

Reporting and Payment Procedures

- 5.9 Quarterly Reports. The Subrecipient shall submit "Quarterly Reports" during the program year beginning (Insert date), and ending (Insert date), within fifteen (15) calendar days of the end of each quarter. The final quarterly report is due no later than July 15, (Insert year). The report must include sufficient information to assist the City in monitoring the Subrecipient's performance. The Subrecipient must demonstrate satisfactory performance prior to reimbursement for expenditures. The Quarterly Reports shall indicate the number of persons assisted, income and ethnicity of persons assisted, how/what assistance was provided, and a description of how and when determination of eligibility status was made for persons assisted.

- 5.10 Reimbursement Schedule. Subrecipient may request to draw down on these ESG Funds in the manner delineated in Scope of Services, unless receipts and appropriate documentation can be provided to, and approved by, the City indicating the need to draw down on funds earlier. The City shall not provide any payments/reimbursements in advance of actual expenditures by the Subrecipient.
- 5.11 Reimbursement Requests. Concurrently with the submittal of each Quarterly Report, as described in subsection 5.9, Subrecipient shall submit a "Reimbursement Request" to the City to request payment for eligible ESG Program costs. Each Reimbursement Request shall include documentation to verify that the expenditure of funds is consistent with the ESG Program description/definition as approved by the City Council. Documentation shall include, but not be limited to, both (i) an original invoice and (ii) true copies of other receipts, agreements, payroll records or other documentation supporting and evidencing how the ESG Funds have been or will be expended during the applicable quarter. Prior to reimbursing Subrecipient, the City will verify that Subrecipient has met all applicable regulations for the ESG Program.
- 5.12 Remaining Balance. The ESG Program shall be completed and all funds provided through this Agreement shall be expended on eligible ESG Program activities from (Insert date) through (Insert date). Invoices for approved ESG Program costs funded under this Agreement shall be submitted within 30 days after the Agreement expiration date. After the 30 day period for submitting invoices has expired, any remaining balance on this Agreement may be allocated by City to other eligible ESG projects within the City's approved ESG Program.
- 5.13 Separation of Accounts. All ESG Funds received by Subrecipient from City pursuant to this Agreement shall be maintained in an account in a federally insured banking or savings and loan institution with record keeping of such accounts maintained pursuant to Title 2 of the Code of Federal Regulations ("2 CFR") Part 200. The Subrecipient is not required to maintain separate depository accounts for ESG Funds; provided however, the Subrecipient must be able to account for receipt, obligation and expenditure of ESG Funds pursuant to applicable 2 CFR 200.302 et seq., requirements and any other applicable law.
- 5.14 Repayment of Funds by Subrecipient. In the event this Agreement is terminated, as provided in section 4.9, Subrecipient agrees to and shall immediately return to City any and all unexpended and unencumbered ESG Funds. Further, Subrecipient shall comply with the provisions of the section of this Agreement relating to Reversion of Assets.
- 5.15 Additional Payment after Notice of Termination at Discretion of City. In the event of early termination of the Agreement by either party without cause, at the sole discretion and election of the City, the Subrecipient will be compensated for all services rendered and necessarily incurred costs performed in good faith in accordance with the terms of this Agreement that have been previously eligible for reimbursement and paid, to the date of the notice of termination to the extent that ESG Funds are available from HUD.

In the event of early termination of the Agreement by the City for cause (but not due to the non-performance or breach by Subrecipient), at the sole discretion and election of the City, the Subrecipient will be compensated for all services rendered

and necessarily incurred costs performed in good faith in accordance with the terms of this Agreement that have been previously eligible for reimbursement and paid, to the date of the notice of termination to the extent that ESG Funds are available from HUD.

- 5.16 Indirect Costs. If indirect costs are charged, the SUBRECIPIENT will develop an indirect cost allocation plan for determining the appropriate SUBRECIPIENT's share of administrative costs and shall submit such plan to the CITY for approval, in a form specified by the CITY.
- 5.17 Payment Procedures. The CITY will pay to the SUBRECIPIENT funds available under this agreement based upon information submitted by the SUBRECIPIENT and consistent with any approved budget and CITY policy concerning payments. With the exception of certain advances, payments will be made for eligible expenses actually incurred by the SUBRECIPIENT, and not to exceed actual cash requirements. Payments are to be adjusted by the CITY in accordance with advanced fund and program income balances available in SUBRECIPIENT accounts. In addition, the CITY reserves the right to liquidate funds available under this agreement for costs incurred by the CITY on behalf of the SUBRECIPIENT.
- 5.18 Progress Reports. The SUBRECIPIENT shall submit regular Progress Reports to the CITY in the form, content, and frequency as required by the CITY.
- 5.19 Procurement
- a. Compliance
The SUBRECIPIENT shall comply with current CITY policy concerning the purchase of equipment and shall maintain inventory records of all non-expendable personal property as defined by such policy as may be procured with funds provided herein. All program assets (unexpended program income, property, equipment, etc.) shall revert to the CITY upon termination of this Agreement.
 - b. OMB Standards
Unless specified otherwise within this agreement, the SUBRECIPIENT shall procure all materials, property, or services in accordance with the requirements of 2 CFR Part 200.
 - c. Travel
The SUBRECIPIENT shall obtain written approval from the CITY for any travel outside the metropolitan area with funds provided under this Agreement.

Use and Reversion of Assets

- 5.20 Compliance. The SUBRECIPIENT shall comply with current CITY policy concerning the purchase of equipment and shall maintain inventory records of all non-expendable personal property as defined by such policy as may be procured with funds provided herein. All program assets shall revert to the CITY upon termination of this agreement as provided for in Use and Reversion of Assets.
- 5.21 OMB Standards. Unless specified otherwise within this agreement, the SUBRECIPIENT shall procure all materials, property, or services in accordance with the requirements of 2 CFR Part 200.

5.22 Travel. The SUBRECIPIENT shall obtain written approval from the CITY for any travel outside the metropolitan area with funds provided under this agreement.

5.23 Use as an Emergency Shelter. The use and disposition of real property and equipment under this agreement shall be in compliance with the requirements of 2 CFR Part 200, which include but are not limited to the following:

- a. The SUBRECIPIENT shall transfer to the CITY any ESG funds on hand and any accounts receivable attributable to the use of funds under this agreement at the time of expiration, cancellation, or termination.
- b. Real property under the SUBRECIPIENT's control that was improved, in whole or in part, with funds under this agreement shall comply with ESG assistance involving major rehabilitation or conversion, requires any building for which ESG assistance is used to continue in use as a shelter for homeless individuals and families for not less than a ten-year period. ESG assistance involving rehabilitation (other than major rehabilitation or conversion) requires any building for which ESG assistance is used to continue in use as a shelter for homeless individuals and families for not less than a three-year period. Thus, for either the 3- or 10-year period of use, the use requirement starts on the date of initial occupancy for a building that had not previously been operated as a shelter. The date the ESG funds are obligated to a shelter starts the applicable use requirement where the building was previously operated as a shelter.
- c. In all cases in which equipment acquired, in whole or in part, with funds under this agreement is sold, the proceeds shall be program income (prorated to reflect the extent to that funds received under this agreement were used to acquire the equipment). When equipment is no longer needed in the same project, it cannot be used to assist homeless or low-income persons, and the value of the property in question is \$5,000 or more, disposition instructions should be requested from HUD. If HUD has neither use for the equipment nor provides instruction within 120 days, the recipient may dispose of the equipment provided the ESG account is reimbursed by applying to the sales price or fair market value of the equipment an amount equal to the percentage of HUD's participation in the original acquisition price of the equipment.

6. Relocation, Real Property Acquisition. The SUBRECIPIENT agrees to comply with the following:

- a. The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA), and implementing regulations at 49 CFR Part 24; and,
- b. The SUBRECIPIENT also agrees to comply with all applicable CITY ordinances, resolutions and policies concerning the displacement of persons from their residences.
- c. The requirements in 24 CFR 570.606(d) governing optional relocation policies.

The CITY hereby reserves the right to preempt the optional policies.

The SUBRECIPIENT shall provide relocation assistance to displaced persons as defined by 24 CFR 570.606(b) (2) that are displaced as a direct result of acquisition, rehabilitation, demolition or conversion for an ESG-assisted project. The SUBRECIPIENT also agrees to comply with applicable CITY ordinances, resolutions and policies concerning the displacement of persons from their residences.

7. Personnel & Participant Conditions.

7.1. Civil Rights

a. Compliance

The SUBRECIPIENT agrees to comply with all local and State civil rights laws and with Title VI of the Civil Rights Act of 1964 as amended, Title VIII of the Civil Rights Act of 1968 as amended, Section 104(b) and Section 109 of Title I of the Housing and Community Development Act of 1974 as amended, Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 706), the Americans with Disabilities Act of 1990, the Age Discrimination Act of 1975, Executive Order 11063, and Executive Order 11246 as amended by Executive Orders 11375, 11478, 12107 and 12086.

b. Nondiscrimination

The SUBRECIPIENT agrees to comply with the non-discrimination in employment and contracting opportunities laws, regulations, and executive orders, as revised by Executive Order 13279 and all local ordinances. The applicable non-discrimination provisions in Section 109 of the HCDA are still applicable.

c. Land Covenants

This agreement is subject to the requirements of Title VI of the Civil Rights Act of 1964 (P. L. 88-352). In regard to the sale, lease, or other transfer of land acquired, cleared or improved with assistance provided under this agreement, the SUBRECIPIENT shall cause or require a covenant running with the land to be inserted in the deed or lease for such transfer, prohibiting discrimination as herein defined, in the sale, lease or rental, or in the use or occupancy of such land, or in any improvements erected or to be erected thereon, providing that the CITY and the United States are beneficiaries of and entitled to enforce such covenants. The SUBRECIPIENT, in undertaking its obligation to carry out the program assisted hereunder, agrees to take such measures as are necessary to enforce such covenant, and will not itself so discriminate.

d. Section 504

The SUBRECIPIENT agrees to comply with all Federal regulations issued pursuant to compliance with Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination against the individuals with disabilities or handicaps in any Federally assisted program. The CITY shall provide the SUBRECIPIENT with any guidelines necessary for compliance with that portion of the regulations in force during the term of this agreement.

7.2. Affirmative Action

a. Approved Plan

The SUBRECIPIENT agrees that it shall be committed to carry out pursuant to the CITY's specifications an Affirmative Action Program in keeping with the

principles as provided in President's Executive Order 11246 of September 24, 1966. The CITY shall provide Affirmative Action guidelines to the SUBRECIPIENT to assist in the formulation of such program. The SUBRECIPIENT shall submit a plan for an Affirmative Action Program for approval prior to the award of funds.

b. Women- and Minority-Owned Business Enterprise (W/MBE)

The SUBRECIPIENT will use its best efforts to afford small businesses, minority business enterprises, and women's business enterprises the maximum practicable opportunity to participate in the performance of this agreement. As used in this agreement, the terms "small business" means a business that meets the criteria set forth in section 3(a) of the Small Business Act, as amended (15 U.S.C. 632), and "minority and women's business enterprise" means a business at least fifty-one (51) percent owned and controlled by minority group members or women. For the purpose of this definition, "minority group members" are Afro-Americans, Spanish-speaking, Spanish surnamed or Spanish-heritage Americans, Asian Americans, and American Indians. The SUBRECIPIENT may rely on written representations by businesses regarding their status as minority and female business enterprises in lieu of an independent investigation.

c. Access to Records

The SUBRECIPIENT shall furnish and cause each of its own SUBRECIPIENT's or subcontractors to furnish all information and reports required hereunder and will permit access to its books, records and accounts by the CITY, HUD or its agent, or other authorized Federal officials for purposes of investigation to ascertain compliance with the rules, regulations and provisions stated herein.

d. Confidentiality of Records

The SUBRECIPIENT is to ensure the safety and security of ESG project participants fleeing domestic violence situations by developing and implementing procedures to guarantee the confidentiality of records concerning project participants as required under 24 CFR 576.500. In addition, the address and location of family violence shelter facilities receiving ESG funding may not be publicly disclosed except with the written authorization of the person(s) responsible for the shelter facility's operation. To comply with this requirement, recipient organizations should, for example, keep written records or files pertaining to families under lock and key with only particular personnel granted access to those files.

e. Notifications

The SUBRECIPIENT will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer, advising the labor union or worker's representative of the SUBRECIPIENT's commitments hereunder, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

f. Equal Employment Opportunity and Affirmative Action (EEO/AA) Statement

The SUBRECIPIENT will, in all solicitations or advertisements for employees placed by or on behalf of the SUBRECIPIENT, state that it is an Equal Opportunity or Affirmative Action employer.

7.3 Subcontract Provisions

The SUBRECIPIENT will require and include compliance with any and all provisions of Civil Rights, Affirmative Action, and other applicable requirements applicable to SUBRECIPIENT in every subcontract or purchase order as applicable, specifically or by attached reference, so that such provisions will be binding upon each of its own subcontractors.

7.4 Other Employment Restrictions

The SUBRECIPIENT is prohibited from using funds provided herein or personnel employed in the administration of the program for: Political activities, inherently religious activities, lobbying, political patronage, and nepotism activities.

7.5 OSHA

Where employees are engaged in activities not covered under the Occupational Safety Act of 1970 (OSHA), they shall not be required or permitted to work, be trained, or receive services in buildings that are unsanitary, hazardous, or dangerous to the participants' health or safety.

7.6 Labor Standards

The SUBRECIPIENT agrees to comply with the requirements of the Secretary of Labor in accordance with the Davis-Bacon Act as amended, the provisions of Contract Work Hours and Safety Standards Act (40 U.S.C. 327 *et seq.*) and all other applicable Federal, state and local laws and regulations pertaining to labor standards insofar as those acts apply to the performance of this agreement. The SUBRECIPIENT agrees to comply with the Copeland Anti-Kick Back Act (18 U.S.C. 874 *et seq.*) and its implementing regulations of the U.S. Department of Labor at 29 CFR Part 5. The SUBRECIPIENT shall maintain documentation that demonstrates compliance with hour and wage requirements of this part. Such documentation shall be made available to the CITY for review upon request.

The SUBRECIPIENT agrees that, except with respect to the rehabilitation or construction of residential property containing less than eight (8) units, all contractors engaged under contracts in excess of \$2,000.00 for construction, renovation or repair work financed in whole or in part with assistance provided under this agreement, shall comply with Federal requirements adopted by the CITY pertaining to such contracts and with the applicable requirements of the regulations of the Department of Labor, under 29 CFR Parts 1, 3, 5 and 7 governing the payment of wages and ratio of apprentices and trainees to journey workers provided that, if wage rates higher than those required under the regulations are imposed by state or local law, nothing hereunder is intended to relieve the SUBRECIPIENT of its obligation, if any, to require payment of the higher wage. The SUBRECIPIENT shall cause or require to be inserted in full, in all such contracts subject to such regulations, provisions meeting the requirements of this paragraph.

7.7 Section 3 Clause

a. Compliance

Compliance with the regulations set forth in 24 CFR 135, and all applicable rules and orders issued hereunder prior to the execution of this agreement, shall be a condition of the Federal financial assistance provided under this agreement and binding upon the CITY, the SUBRECIPIENT and any of the SUBRECIPIENT's subrecipients and subcontractors. Failure to fulfill these

requirements shall subject the CITY, the SUBRECIPIENT and any of the SUBRECIPIENT's subrecipients and subcontractors, their successors and assigns, to those sanctions specified by the agreement through which federal assistance is provided. The SUBRECIPIENT certifies and agrees that no contractual or other disability exists that would prevent compliance with these requirements.

The SUBRECIPIENT further agrees to comply with these "Section 3" requirements and to include the following language in all subcontracts executed under this agreement:

"The work to be performed under this agreement is a project assisted under a program providing direct Federal financial assistance from HUD and is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended (12 U.S.C. 1701). Section 3 requires that to the greatest extent feasible opportunities for training and employment be given to low- and very low-income residents of the project area, and that contracts for work in connection with the project be awarded to business concerns that provide economic opportunities for low and very low-income persons residing in the metropolitan area in which the project is located."

The SUBRECIPIENT further agrees to ensure that opportunities for training and employment arising in connection with rehabilitation (including reduction and abatement of lead-based paint hazards) are given to low and very low-income persons residing within the metropolitan area in which the ESG-funded project is located; where feasible, priority should be given to low and very low-income persons within the service area of the project or the neighborhood in which the project is located, and to low and very low-income participants in other HUD programs; and award contracts for work undertaken in connection with a housing rehabilitation (including reduction and abatement of lead-based paint hazards), housing construction, or other public construction project to business concerns that provide economic opportunities for low and very low-income persons residing within the metropolitan area in which the ESG-funded project is located; where feasible, priority should be given to business concerns that provide economic opportunities to low and very low-income residents within the service area or the neighborhood in which the project is located, and to low and very low-income participants in other HUD programs.

The SUBRECIPIENT certifies and agrees that no contractual and/or other legal incapacity exists that would prevent compliance with these requirements.

b. Notification

The SUBRECIPIENT agrees to send to each labor organization or representative of workers with which it has a collective bargaining agreement or other contract or understanding, if any, a notice advising said labor organization or worker's representative of its commitments under this Section 3 clause and shall post copies of the notice in conspicuous places available to employees and applicants for employment or training.

c. Subcontract

The SUBRECIPIENT will include this Section 3 clause in every subcontract and will take appropriate action pursuant to the subcontract upon a finding that the

subcontractor is in violation of regulations issued by the grantor agency. The SUBRECIPIENT will not subcontract with any entity where it has notice or knowledge that the latter has been found in violation of regulations under 24 CFR Part 135 and will not let any subcontract unless the entity has first provided it with a preliminary statement of ability to comply with the requirements of these regulations.

d. Conduct

i. Assignability

The SUBRECIPIENT shall not assign or transfer any interest in this agreement without the prior written consent of the CITY thereto; provided, however, that claims for money due or to become due to the SUBRECIPIENT from the CITY under this agreement may be assigned to a bank, trust company, or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished promptly to the CITY.

ii. Subcontracts

a. Approvals

The SUBRECIPIENT shall not enter into any subcontracts with any agency or individual in the performance of this agreement without the written consent of the CITY prior to the execution of such agreement.

b. Monitoring

The SUBRECIPIENT will monitor all subcontracted services on a regular basis to assure contract compliance. Results of monitoring efforts shall be summarized in written reports and supported with documented evidence of follow-up actions taken to correct areas of noncompliance.

c. Content

The SUBRECIPIENT shall cause all of the provisions of this agreement in its entirety to be included in and made a part of any subcontract executed in the performance of this agreement.

d. Selection Process

The SUBRECIPIENT shall undertake to insure that all subcontracts let in the performance of this agreement shall be awarded on a fair and open competition basis in accordance with applicable procurement requirements. Executed copies of all subcontracts shall be forwarded to the CITY along with documentation concerning the selection process.

7.8

Hatch Act

The SUBRECIPIENT agrees that no funds provided, nor personnel employed under this agreement, shall be in any way or to any extent engaged in the conduct of political activities in violation of Chapter 15 of Title V of the U.S.C.

7.9 Conflict of Interest

The SUBRECIPIENT agrees to abide by the provisions of 2 CFR Part 200, which include (but are not limited to) the following:

- a. No employee, officer or agent of the SUBRECIPIENT shall participate in the selection, or in the award, or administration of, a contract supported by Federal funds if a conflict of interest, real or apparent, would be involved.
- b. No covered persons who exercise or have exercised any functions or responsibilities with respect to ESG-assisted activities, or who are in a position to participate in a decision-making process or gain inside information with regard to such activities, may obtain a financial interest in any contract, or have a financial interest in any contract, subcontract, or agreement with respect to the ESG-assisted activity, or with respect to the proceeds from the ESG-assisted activity, either for themselves or those with whom they have business or immediate family ties, during their tenure or for a period of one (1) year thereafter. For purposes of this paragraph, a "covered person" includes any person who is an employee, agent, subcontractor, consultant, officer, or elected or appointed official of the CITY, the SUBRECIPIENT, or any designated public agency.

7.10 Lobbying The SUBRECIPIENT hereby certifies that:

- a. No federally appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement; and,
- b. If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and,
- c. It will require that the language of paragraph (d) of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all SUBRECIPIENTS shall certify and disclose accordingly; and,
- d. Lobbying Certification: This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S.C. Any person

who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

7.11. Copyright

If this agreement results in any copyrightable material or inventions, the CITY and/or grantor agency reserves the right to royalty-free, exclusive and irrevocable license to reproduce, publish or otherwise use and to authorize others to use, the work or materials for governmental purposes.

7.12. Religious Activities

The SUBRECIPIENT agrees that funds provided under this agreement will not be utilized for inherently religious activities prohibited by 24 CFR 576.406 such as worship, religious instruction, or proselytization. An organization that is awarded direct HUD funds may still engage in inherently religious activities provided they are voluntary for participants in HUD-funded activities and occur separately in time or location from the HUD-funded activities. An organization receiving HUD funds may not restrict HUD-funded services or housing to people of a particular religion or religious denomination.

8. Environmental Conditions.

8.1 Air and Water

The SUBRECIPIENT agrees to comply with the following requirements insofar as they apply to the performance of this agreement:

- a. Clean Air Act, 42 U.S.C., 7401, *et seq.*;
- b. Federal Water Pollution Control Act, as amended, 33 U.S.C., 1251, *et seq.*, as amended, 1318 relating to inspection, monitoring, entry, reports, and information, as well as other requirements specified in said Section 114 and Section 308, and all regulations and guidelines issued hereunder;
- c. Environmental Protection Agency (EPA) regulations pursuant to 40 CFR Part 50, as amended.

8.2 Flood Disaster Protection

In accordance with the requirements of the Flood Disaster Protection Act of 1973 (42 U.S.C. 4001), the SUBRECIPIENT shall assure that for activities located in an area identified by the Federal Emergency Management Agency (FEMA) as having special flood hazards, flood insurance under the National Flood Insurance Program is obtained and maintained as a condition of financial assistance for acquisition or construction purposes (including rehabilitation).

8.3 Lead-Based Paint

The SUBRECIPIENT agrees that any construction or rehabilitation of residential structures with assistance provided under this agreement shall be subject to HUD Lead-Based Paint Regulations at 24 CFR 570.608, and 24 CFR Part 35, Subpart B. Such regulations pertain to all ESG-assisted housing and require that all owners, prospective owners, and tenants of properties constructed prior to 1978 be properly notified that such properties may include lead-based paint. Such notification shall point out the hazards of lead-based paint and explain the symptoms, treatment and precautions that should be taken when dealing with lead-based paint poisoning and the advisability and availability of blood lead level

screening for children under seven. The notice should also point out that if lead-based paint is found on the property, abatement measures might be undertaken. The regulations further require that, depending on the amount of Federal funds applied to a property, paint testing, risk assessment, treatment and/or abatement may be conducted.

8.4 Historic Preservation

The SUBRECIPIENT agrees to comply with the Historic Preservation requirements set forth in the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470) and the procedures set forth in 36 CFR Part 800, Advisory Council on Historic Preservation Procedures for Protection of Historic Properties, and any and all local ordinances insofar as they apply to the performance of this agreement.

In general, this requires concurrence from the State Historic Preservation Officer for all rehabilitation and demolition of historic properties that are fifty years old or older or that are included on a federal, state, or local historic property list.

8.5 Building Standards

The SUBRECIPIENT agrees that any assistance to a building for which ESG amounts are used for conversion, major rehabilitation, rehabilitation, or renovation must meet local government safety and sanitation standards in accordance with 24 CFR 576.55.

9. Severability.

If any provision of this agreement is held invalid, the remainder of the agreement shall not be affected thereby and all other parts of this agreement shall nevertheless be in full force and effect.

10. Section Headings and Subheadings.

The section headings and subheadings contained in this agreement are included for convenience only and shall not limit or otherwise affect the terms of this agreement.

11. Waiver.

The CITY's failure to act with respect to a breach by the SUBRECIPIENT does not waive its right to act with respect to subsequent or similar breaches. The failure of the CITY to exercise or enforce any right or provision shall not constitute a waiver of such right or provision.

12. Entire Agreement.

This agreement constitutes the entire agreement between the CITY and the SUBRECIPIENT for the use of funds received under this agreement, and it supersedes all prior or contemporaneous communications and proposals, whether electronic, oral, or written between the CITY and the SUBRECIPIENT with respect to this agreement.

IN WITNESS WHEREOF, the City Manager of the City of Garden Grove has caused this agreement to be subscribed and attested by the City Clerk hereof, and the SUBRECIPIENT has subscribed the same through its authorized officer, the day, month and year first above written.

"SUBRECIPIENT"
(Name of Subrecipient)

CITY OF GARDEN GROVE ("CITY")
A Municipal Corporation

By: _____
(Name of Director),
Executive Director

By: _____
Scott Stiles,
City Manager

Dated: _____

Dated: _____

APPROVED AS TO FORM:

ATTEST:

By: _____
Omar Sandoval,
City Attorney

By: _____
Teresa Pomeroy,
City Clerk

Dated: _____

Dated: _____

Attachment A

SCOPE OF SERVICES AND BUDGET FY (Year)

ATTACHMENT A
SCOPE OF SERVICES AND BUDGET
CITY OF GARDEN GROVE & *[SUBRECIPEINT NAME]*

A. SCOPE OF SERVICES

This project is designed to provide availability and accessibility to a suitable living environment by providing *[DESCRIBE PROJECT]*. *[SUBRECIPEINT NAME]* shall provide essential services *[DESCRIBE CLIENTEL BEING SERVED]*. Furthermore this project furthers Priority #7 in the City of Garden Grove's adopted Housing and Community Development Consolidated Plan (HUD 5-year plan), which is to address the needs of homeless individuals and those at risk of homelessness.

Between July 1, *[20xx]* and June 30, *[20xx]*, *[SUBRECIPEINT NAME]* will provide the following eligible activities:

1. *[DESCRIBE SERVICE/ACTIVITY AND THE NUMBER OF INDIVIDUALS SERVED IN PROGRAM YEAR]*.

B. PERFORMANCE MEASURES

[SUBRECIPEINT NAME] will submit to the City of Garden Grove Community Development Department quarterly reports on the form attached hereto by October 15, January 15, April 15, and July 15 over the duration of this agreement.

C. PROJECT BUDGET

Essential Services	\$ <i>XX,XXX</i>
Street Outreach	\$ <i>XX,XXX</i>
Emergency Shelter	\$ <i>XX,XXX</i>
Homeless Prevention	\$ <i>XX,XXX</i>
Rapid Rehousing	\$ <i>XX,XXX</i>
HMIS/CMIS	\$ <i>XX,XXX</i>

Total* *[SUBRECIPEINT NAME]* budget \$ *XX,XXX

Attachment B

ELIGIBLE EXPENSE GUIDE

EMERGENCY SOLUTIONS GRANTS PROGRAM

(ESG)

ELIGIBLE EXPENSE GUIDE



GARDEN GROVE

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Emergency Solutions Grants Program (ESG) funds may only reimburse cost directly related to the following ESG eligible expenditure program components:

- 1. Street Outreach**
- 2. Emergency Shelter**
- 3. Homelessness Prevention**
- 4. Rapid Re-housing**
- 5. Homelessness Management Information System (HMIS)**
- 6. Administration**

Subrecipients may consult the Federal and State ESG regulations at the HCD website:

<http://www.hcd.ca.gov/fa/esg/>

Indirect costs and any activities determined by the Department of Housing and Community Development to be ineligible, inefficient, or ineffective use of Grant funds as stated in the applicable NOFA will be disallowed.

- 1. Street Outreach** – Unsheltered individuals and families, meaning those who qualify under 24 CFR § 91.5 paragraph (1)(i) of the definition of “homelessness”. Essential Services to eligible participants provided on the street or in parks, abandoned buildings, bus stations, campgrounds, and in other such settings where unsheltered persons are staying. Staff salaries related to carrying out street outreach activities are eligible.

- 1.1 Engagement**
- 1.2 Case Management**
- 1.3 Emergency Health Services**
- 1.4 Emergency Mental Health Services**
- 1.5 Transportation**
- 1.6 Services to Special Populations**

1.1 Engagement – Activities to locate, identify, and build relationships with unsheltered homeless people for the purpose of providing immediate support, intervention, and connections with homeless assistance programs and/or mainstream social services and housing programs.

- **Initial assessment of needs and eligibility**
- **Providing crisis counseling**
- **Addressing urgent physical needs**
- **Actively connecting and providing information and referral**
- **Cell phone costs of outreach workers**

1.2 Case Management – Assessing housing and service needs, and arranging/coordinating/monitoring the delivery of individualized services.

- **Using the centralized or coordinated assessment system**
- **Initial evaluation/verifying and document eligibility**
- **Counseling**
- **Developing/Securing/Coordinating Services**
- **Helping obtain Federal, State, and local benefits**
- **Monitoring/evaluating participant progress**
- **Providing information and referral to other providers**
- **Developing an individualized housing/service plan**

1.3 Emergency Health Services – Outpatient treatment of urgent medical conditions by licensed medical professionals in community-based settings (e.g., streets, parks, and campgrounds) to those eligible participants unwilling or unable to access emergency shelter or an appropriate healthcare facility.

- **Assessing participant's health problems and developing treatment plans**
- **Assisting participants to understand their health needs**
- **Providing or helping participants obtain appropriate emergency medical treatment**
- **Providing medication and follow-up services**

1.4 Emergency Mental Health Services – Outpatient treatment of urgent mental health conditions by licensed professionals in community-based settings (e.g., streets, parks, and campgrounds) to those eligible participants unwilling or unable to access emergency shelter or an appropriate healthcare facility.

- **Crisis Intervention**
- **Prescription of psychotropic medications**
- **Explain the use and management of medications**
- **Combinations of therapeutic approaches to address multiple problems**

1.5 Transportation – Travel by outreach workers, social workers, medical professionals or other service providers during the provision of eligible street outreach services.

- **Transporting unsheltered people to emergency shelters or other service facilities**
- **Cost of a participant's travel on public transit**
- **Mileage allowance for outreach workers to visit participants**

- **Purchasing or leasing a vehicle for use in conducting outreach activities, including cost of gas, insurance, taxes, and maintenance for the vehicle**
- **Costs of staff to accompany or assist participant to use public transportation**

1.6 Services to Special Populations – Otherwise eligible Essential Services that have been tailored to address the special needs of homeless youth, victims of domestic violence, and related crimes/threats, and/or people living with HIV/AIDS who are literally homeless.

- **See all eligible expenses above under Street Outreach (1)**

2. Emergency Shelter (Includes Transitional Housing & Day Centers) – Eligible participants are individuals and families who are homeless. Essential Services to persons in emergency shelters, renovating buildings to be used as emergency shelters, and operating emergency shelters are eligible costs. Staff costs related to carrying out emergency shelter activities are also eligible.

2.1 Essential Services

2.2 Rehabilitation and Renovation

2.3 Shelter Operations

2.4 Assistance Required under Uniform Relocation Assistance (URA)

2.1 Essential Services – Services provided to individuals and families who are in an emergency shelter:

- **Case Management** – Assessing, arranging, coordinating, and monitoring individualized services.
 - Using the centralized or coordinated assessment system
 - Initial evaluation including verifying and documenting eligibility
 - Counseling
 - Developing, securing, and coordinating services including Federal, State, and local benefits
 - Monitoring and evaluating program participant progress
 - Providing information and referrals to other providers
 - Providing on-going risk assessment and safety planning with victims of domestic violence, dating violence, sexual assault, and stalking
 - Developing an Individualized Housing and Service Plan
- **Child Care** – Licensed child care for program participants with children under the age of 13 or disabled children under the age of

18.

- Child care costs
- Meals and snacks
- Comprehensive and coordinated sets of appropriate developmental activities

▪ **Education Services** – Instruction or training to enhance participant's ability to obtain and maintain housing: literacy, English literacy, GED, consumer education, health education, and substance abuse prevention.

- Educational services/skill-building
- Screening, assessment, and testing
- Individual or group instruction
- Tutoring
- Provision of books, supplies, and instructional material
- Counseling
- Referral to community resources

▪ **Employment Assistance and Job Training** – Services assisting participants secure employment and job training programs.

- Classroom, online, and/or computer instruction
- On-the-job instruction
- Job finding, skill-building
- Reasonable stipends in employment assistance and job training programs
- Books and instructional material
- Employment screening, assessment, or testing
- Structured job-seeking support
- Special training and tutoring, including literacy training and pre-vocational training
- Counseling or job coaching
- Referral to community resources

▪ **Outpatient Health Services** – Direct outpatient treatment of medical conditions provided by licensed medical professionals.

- Assessing health problems and developing a treatment plan
- Assisting program participants to understand their health

needs

- Providing or helping participants obtain appropriate medical treatment, preventive medical care, and health maintenance services, including emergency medical services
- Providing medication and follow-up services
- Providing preventive and non-cosmetic dental care

▪ **Legal Services** – Necessary legal services regarding matters that interfere with the program participant's ability to obtain and retain housing.

- Hourly fees for legal advice and representation by licensed attorneys and certain other fees-for-service
- Client intake, preparation of cases for trial, provision of legal advice, representation at hearings, and counseling
- Filing fees and other necessary court costs

▪ **Legal Representation** – Legal representation and advice to resolve legal problems that prevent participants from obtaining or retaining permanent housing.

- Child support
- Guardianship
- Paternity
- Emancipation
- Legal separation
- Resolution of outstanding criminal warrants
- Appeal of veterans and public benefit claim denials
- Orders of protection and other civil remedies for victims of domestic violence, dating violence, sexual assault, and stalking

▪ **Life Skills Training** – Critical life management skills necessary to assist the program participant to function independently in the community.

- Budgeting resources
- Managing money
- Managing household
- Resolving conflict
- Shopping for food and needed items
- Improving nutrition

- Using public transportation

- Parenting

▪ **Mental Health Services** – Direct outpatient treatment of mental health conditions by licensed professionals.

- Crisis intervention
- Individual, family, or group therapy sessions
- Prescription of psychotropic medications or explanations about the use and management of medications
- Combinations of therapeutic approaches to address multiple problems

▪ **Substance Abuse Treatment Services** – Substance abuse treatment provided by licensed or certified professionals, designed to prevent, reduce, eliminate or deter relapse of substance abuse or addictive behaviors.

- Client intake and assessment
- Outpatient treatment for up to thirty days
- Group and individual counseling
- Drug testing

▪ **Transportation** – Costs of travel by program participants to and from medical care, employment, child care, or other facilities that provide eligible essential services; and cost of staff travel to support provision of essential services.

- Cost of program participant's travel on public transportation
- Mileage allowance for service workers to visit participants
- Purchasing or leasing a vehicle used for transport of participants and/or staff serving participants, including the cost of gas, insurance, taxes, and maintenance for the vehicle
- Travel costs of staff to accompany or assist program participants to use public transportation

▪ **Services for Special Populations** – Otherwise eligible essential services tailored to address the special needs of homeless youth, victims of domestic violence, and related crimes/threats, and people living with HIV/AIDS in emergency shelters.

- See all eligible expenses above under Essential Services (2.1)

2.2 Rehabilitation and Renovation* - Renovating buildings to be used as emergency shelter for homeless families and individuals.

- Labor
- Materials
- Tools
- Other costs for renovation, including soft costs
- Major rehabilitation of an emergency shelter
- Conversion of a building into an emergency shelter

** HCD encourages the use of other funding sources for renovation and limits renovation to an amount not to exceed \$10,000.*

2.3 Shelter Operations – Costs to operate and maintain emergency shelters and also provide other emergency lodging when appropriate.*

- Maintenance (including minor or routine repairs)
- Rent
- Security
- Fuel
- Insurance
- Utilities
- Food
- Furnishing
- Equipment
- Supplies necessary for the operation of the emergency shelter
- Hotel and motel voucher for family or individuals*

**Hotel and motel vouchers are only eligible when no appropriate emergency shelter is available.*

2.4 Assistance Required under URA – Assistance required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA) as described in subpart E of the interim regulations.

- Costs of providing URA assistance under 24 CFR § 576.408, including relocation payments and other assistance to persons displaced by a project assisted with ESG funds.*

** Persons that receive URA assistance are not considered "program participants" for the purposes of this part of ESG and relocation payments and other URA assistance are not considered "rental assistance" or "housing relocation and stabilization services" for the purposes of this part under ESG.*

- 3. Homelessness Prevention** – Individuals and families who are at imminent risk or at risk of homelessness, meaning those who qualify under 24 CFR § 576.2 paragraph (1) of the homeless definition or those who qualify as at risk of homelessness. Individuals and families must have an income below 30% of AMI. Short and medium-term rental assistance and housing relocation and stabilization services are eligible activities. Staff salaries related to carrying out homelessness prevention activities are also eligible.

3.1 Housing Relocation and Stabilization Services

3.2 Short and Medium-Term Rental Assistance

3.1 Housing Relocation and Stabilization Services

❖ Requirements and Restrictions:

1. Participants must meet with a case manager at least once a month for the duration of assistance, except where funding under Violence Against Women Act (VAWA) or Family Violence Prevention and Services Act (FVPS) prohibits the subrecipient from making shelter or housing conditional upon the receipt of services.
2. Participants must be assisted, as needed, in obtaining:
 - ❑ Appropriate supportive services, like mediation or mental health treatment or services essential for independent living
 - ❑ Mainstream benefits like Medicaid, SSI, or TANF

▪ **Financial Assistance**

- **Moving Costs** – Moving costs, such as a truck rental or hiring a moving company, including certain temporary storage fees.
- **Rent Application Fees** – Application fee that is charged by the owner to all applicants.
- **Security Deposit** – Equal to no more than 2 month's rent
- **Last Month's Rent** – Paid to the owner of housing at the time security deposit and first month's rent are paid.
- **Utility Deposit** – Standard utility deposit required by the utility company for all customers (i.e., gas, electric, water/sewage).
- **Utility Payments** – Up to 24 months of utility payments per participant per service (i.e., gas, electric, water/sewage), including a 1 time payment up to 6 month of arrearages, per service.

▪ **Services**

○ **Housing Search and Placement**

- Assessment of housing barriers, needs and preferences
- Development of an action plan for locating housing
- Housing search and outreach to and negotiation with owner
- Assistance with submitting rental applications and understanding leases
- Assessment of housing for compliance with ESG requirements for habitability, lead based paint, and rent reasonableness
- Assistance with obtaining utilities and making moving arrangements
- Tenant counseling

○ **Housing Stability Case Management** – Assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability

- Using the centralized or coordinated assessment system, conduct the initial evaluation and re-evaluation
- Counseling
- Developing, securing, and coordinating services including Federal, State, and local benefits
- Monitoring and evaluating program participant progress
- Providing information and referrals to other providers
- Developing an Individualized Housing and Service Plan

○ **Mediation** – Mediation between the program participant and the owner or person(s) with whom the program participant is living, to prevent the program participant from losing permanent housing in which they currently reside.

- Time and/or services associated with mediation activities

○ **Legal Services** – Legal services that are necessary to resolve a legal problem that prohibits the program participant from obtaining or maintaining permanent housing.

- Hourly fees for legal advice and representation
- Fees based on the actual service performed (i.e., fee for service), but only if the cost would be less than the

cost of hourly fees

- Client intake, preparation of cases for trial, provision of legal advice, representation at hearings, and counseling
- Filing fees and other necessary court costs
- Subrecipient's employee's salaries and other costs necessary to perform the series, if the subrecipient is a legal services provider and performs the services itself

○ **Legal Representation may be provided for:**

- Landlord/tenant matters
- Child support
- Guardianship
- Paternity
- Emancipation
- Legal Separation
- Resolution of outstanding criminal warrants
- Order of protection and other civil remedies for victims of domestic violence, dating violence, sexual assault, and stalking
- Appeal of veterans and public benefit claim denials

○ **Credit Repair** – Services necessary to assist program participants with critical skills related to household budgeting, managing money, accessing a free personal credit report, and resolving personal credit problems*

- Credit counseling
- Other related services

** Assistance cannot include the payment or mediation of a debt.*

3.2 Short and Medium-Term Rental Assistance

❖ Requirements and Restrictions:

1. Compliance with Fair Market Rent (FMR) limits and Rent Reasonableness.
2. Compliance with Minimum Habitability Standards.
3. Rental Assistance Agreement and Lease Standards:
 - ❑ The rental assistance agreement must set forth the terms under which rental assistance will be provided.
 - ❑ Each participant receiving rental assistance must have a legally binding, written lease (between the owner and participant) for the rental unit, unless the assistance is solely for the rental arrears
 - ❑ Project-based rental assistance leases must have an initial term of one year.
4. Cannot use with other subsidies
 - ❑ No rental assistance can be provided to a household receiving rental assistance from another public source for same time period (except 6 months of arrears).
 - ❑ Rental assistance may not be provided to participants who are currently receiving replacement housing payments under the URA.
5. Late Payments
 - ❑ The rental assistance agreement must contain the same payment due date, grace period, and late payment penalty requirements as the program participant's lease.
 - ❑ The subrecipient must make timely payments to the owners in accordance with the rental assistance agreement.
 - ❑ The subrecipient is solely responsible for paying (with non-ESG funds) late payment penalties that it incurs.
 - **Short-Term Rental Assistance** – Up to 3 months
 - **Medium-Term Rental Assistance** – 4 to 24 months
 - **Payment of Rental Arrears** – One time payment up to 6 months, including any late fees on those arrears.
 - **Any Combination of the Three Types of Rental Assistance Above** – Total not to exceed 24 months during any 3 year period, including any payment for last month's rent.

- 4. Rapid Re-Housing** – Individuals and families who are literally homeless, meaning those who qualify under 401 (1) McKinney-Vento Act of the definition of homeless. Short and medium-term rental assistance and housing relocation and stabilization services are eligible activities. Staff salaries related to carrying out homelessness prevention activities are also eligible.

4.1 Housing Relocation and Stabilization Services – See 3.1 Housing Relocation and Stabilization Services above.

4.2 Short and Medium-Term Rental Assistance – See 3.2 Short and Medium-Term Rental Assistance above.

- 5. HMIS** – The HEARTH Act makes HMIS participation a statutory requirement for ESG subrecipients. Victim service providers cannot, and Legal Services Organizations may choose not to, participate in HMIS. Providers that do not participate in HMIS must use a comparable database that produces unduplicated, aggregate reports instead. Activities funded under this component must comply with HUD’s standards on a participation, data collection and reporting under a local HMIS.

5.1 Hardware, Equipment, and Software Costs

5.2 Staffing: Paying salaries for operating HMIS

5.3 Training and Overhead

5.1 Hardware, Equipment, and Software Costs

- Purchasing or leasing computer software
- Purchasing software or software licenses
- Purchasing or leasing equipment, including telephones, faxes, and furniture

5.2 Staffing: Paying salaries for operating HMIS, including:

- Data collection
- Completing data entry
- Monitoring and reviewing data quality
- Completing data analysis
- Reporting to the HMIS Lead
- Training staff on using the HMIS or comparable database
- Implementing and complying with HMIS requirements

5.3 Training and Overhead

- Obtaining technical support
- Leasing office space

- Paying charges for electricity, gas, water, phone service and high-speed data transmission necessary to operate or contribute data to HMIS
- Paying costs of staff to travel to and attend HUD-sponsored and HUD-approved training on HMIS and programs authorized by Title IV of the McKinney-Vento Homeless Assistance Act
- Paying staff travel costs to conduct intake
- Paying participation fees charged by the HMIS Lead

6. Administration

6.1 General Management / Oversight / Coordination

6.2 Training on ESG Requirements

6.3 Consolidated Plan

6.4 Environmental Review

6.1 General Management / Oversight / Coordination – Costs of overall program management, coordination, monitoring, and evaluation

- Administrative services performed under third party contracts or agreements, including general legal services, accounting services, and audit services
- Other costs for goods and services required for administration of the program, including rental or purchase of equipment, insurance, utilities, office supplies, and rental and maintenance (but not purchase) of office space
- Staff salaries, wages, and related costs of staff engaged in eligible program administration activities

6.2 Training on ESG Requirements

- Costs of providing training on ESG requirements and attending HUD-sponsored ESG trainings

6.3 Consolidated Plan

- Costs of preparing and amending the ESG and homelessness related sections of the consolidated plan in accordance with ESG requirements and 24 CFR part 91

6.4 Environmental Review

- Costs of carrying out the environmental review responsibilities under 24 CFR § 576.407 of the HUD regulation

Exhibit 5
Monitoring Notification Letter: On-Site Visit

Date XX

Entity

Subject: Guidance to ESG Subrecipients

Dear Subrecipient:

This letter serves to notify you that the City of Garden Grove will be monitoring your agency's use of Emergency Shelter Grant Program (ESG) funds under the terms and conditions set forth in the Subrecipient Agreement implemented during Fiscal 20XX-XX. This letter further serves to memorialize reporting procedures for Fiscal 20XX-XX for ESG funds awarded to your agency.

Monitoring

City representatives will hold an entrance interview on ----- at your agency with you and staff you wish to designate. The purpose of the interview is to review your agency's administrative and financial procedures pertinent to the management of your Fiscal 20XX-XX ESG-funded program, and to ascertain whether it comports with ESG requirements described in the Subrecipient Agreement. In anticipation of the forthcoming visit, we will request access to records that include the following:

- A full description of the program;
- Evidence that the program meets the ESG permitted activities;
- Characteristics and numbers of beneficiaries;
- Documentation of participant eligibility;
- Review of the program's financial records, e.g., chart of accounts, any recent audit report, documentation of expenses.
- Record retention and file management practices; and
- Procurement procedures.

Following this meeting, the City will then transmit the preliminary results of the monitoring visit, which provides you with an opportunity to correct any misunderstandings, provide additional information that may be needed, and set forth the actions being undertaken to correct areas of noncompliance. Within 30 days of the monitoring visit, the City will notify you in writing of the results of the monitoring and set forth any findings or concerns and the timeframe for a written response and corrective action.

Fiscal 20XX-XX Procedures

- **Submittal of Payment Requests** (Payment of Invoices)

Remember that payment requests should be submitted on a quarterly basis (a copy of the City's payment request form, previously transmitted electronically to your agency, is attached) and accompanied by support documentation. Support documentation may include copies of time sheets, invoices, purchase orders, receipts, or other relevant records showing how you expended the City-awarded ESG funds.

- **Quarterly Subgrantee Performance Reports**

Quarterly Grantee Performance Reports, or GPR's, are to be submitted electronically and concurrently with your agency's request for reimbursement for the ending quarter. Quarterly GPR's for the reporting periods listed below will be due as follows:

Reporting Period		Report Due Date
July 1, 20XX – September 30, 20XX		October 15, 20XX
October 1, 20XX – December 31, 20XX		January 15, 20XX
January 1, 20XX – March 31, 20XX		April 15, 20XX
April 1, 20XX – June 30, 20XX		July 15, 20XX

- **Obtaining, Documenting, and Reporting Program Beneficiary Data**

Under the current ESG Subrecipient Agreement, your agency must certify that the activities being carried out will comply with requirements under the ESG Program. Your agency is also to report on the beneficiaries of your program and on the accomplishments in accordance with the outcomes set forth in the Subrecipient Agreement. This data is to be documented in the GPR each quarter and should be accompanied by copies of intake forms, income self-certification forms, or any form used to determine beneficiary eligibility for those persons assisted during the relevant quarter.

Please direct your questions or comments to Jimmy Nguyen at (714) 741-5144 or by e-mail at jimmyn@ci.garden-grove.ca.us.

Sincerely,

City of Garden Grove

Jimmy Nguyen

Neighborhood Improvement Program Specialist

Exhibit 6
Annual Monitoring Notification Letter: Desk Audit

[Date]

Subrecipient
ATTN: XXXXX

**SUBJECT: ESG MONITORING – DESK AUDIT
FY (Year)**

Dear Subrecipient:

The City of Garden Grove will be monitoring records pertaining to your agency's use of Emergency Solutions Grant (ESG) funds under the terms and conditions set forth in the Subrecipient Agreement implemented during Fiscal (Year). Specifically, the City will be monitoring records for the periods of ---April 1, 20xx through June 30, 20xx (Quarter 4 of FY 20xx-xx) and April 1, 20xx through June 30, 20xx (Quarter 4 of FY 20xx-xx) via a desk audit based upon the following support documentation to be submitted **no later than Monday, October 31, 20xx**:

- For Quarter 4 of FY 20xx-xx and Quarter 4 of FY 20xx-xx, please submit an intake application for each beneficiary served during these periods.
- Support documentation such as receipts, invoices, purchase orders, time sheets, for all expenditures requested to be reimbursed by the City in Quarter 4 of FY 20xx-xx and Quarter 4 of FY 20xx-xx.
- Record retention and file destruction policy
- Copy of your homeless termination procedures.

If you have already submitted part, or all, of this information to the City along with your quarterly Grantee Performance Report (GPR), then no action is necessary on your part.

Within 30 days of the desk audit, you will be notified in writing of the results of the monitoring and set forth any findings or concerns and the timeframe for a written response and corrective action. At this time you will have the opportunity to correct any misunderstandings, provide additional information that may be needed, and/or describe any actions you will undertake to correct areas of noncompliance, if applicable.

Thank you for your time and attention to this matter. Please direct your questions to Jimmy Nguyen, Program Specialist, at (714) 741-5144 or via email at jimmyn@ci.garden-grove.ca.us

Sincerely,

Jimmy Nguyen
Neighborhood Improvement Program Specialist

Exhibit 7

Monitoring Checklist

Exhibit 7: Monitoring Checklist

Monitoring Emergency Solutions Grant (ESG)Subrecipients	
Subrecipient	
Project Name	
Subrecipient Representative(s)	
Community Development Representative(s)	
Date monitoring conducted	<input type="checkbox"/> Desk Audit <input type="checkbox"/> On-site visit(s)
Monitoring letter sent on	
Date follow-up monitoring visit conducted/letter sent	

A. Eligible Program Components/Activities							
Secondary Activity Category (ESG eligible activities)							
ESG Activity Categories (Components)		Renovation/ Rehab	Essential Services	Operations	Housing Relocation & Stabilization/ Financial Assistance	Housing Relocation & Stabilization/ Financial Services	Rental Assistance
<input type="checkbox"/>	Street Outreach		<input type="checkbox"/>				
<input type="checkbox"/>	Shelter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
<input type="checkbox"/>	Homeless Prevention				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Rapid Re-Housing				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	HMIS						
Standard policies and procedures for evaluating individuals' and families' eligibility for assistance under Emergency Solutions Grant (ESG)							
Yes	No	NA	Comments				

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient have safeguards to meet the safety and shelter needs of special populations, e.g. victims of domestic violence, dating violence, sexual assault, and stalking; and individuals and families who have the highest barriers to housing and are likely to be homeless the longest?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient have policies and procedures for assessing, prioritizing, and reassessing individuals' and families' needs for essential services related to emergency shelters?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient have policies and procedures for coordination among emergency shelter providers, essential services providers, homelessness prevention, and rapid re-housing assistance providers; other homeless assistance providers; and mainstream service and housing providers activities must be coordinated and integrated to the maximum extent practicable?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient have policies and procedures for determining and prioritizing which eligible families and individuals will receive homelessness prevention assistance and which eligible families and individuals will receive rapid re-housing assistance?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient have standards for targeting and providing essential services related to street outreach?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	If the subrecipient uses ESG funds to operate an emergency shelter, are there policies and procedures for admission, diversion, referral, and discharge, including standards regarding length of stay?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient have standards for determining what percentage or amount of rent and utilities costs each program participant must pay while receiving homelessness prevention or rapid re-housing assistance?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient have standards for determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time?	

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Does the subrecipient standards have for determining the type, amount, and duration of housing stabilization and/or relocation services to provide to a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participant receive assistance; or the maximum number of times the program participant may receive assistance?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	For ESG service activities, are the services new, or quantifiable increases in the service levels, provided by the local government with local funds within the last year before the initial ESG grant? [24 CFR 576.21(b)(1)]	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Do the projects reviewed with both completed and underway activities demonstrate that beneficiaries receive, or were referred to, appropriate supportive services, access to mainstream resources, and other services needed to achieve independent living? [24 CFR 576.56(a)(1)]	
Yes No NA	Type of Participants Assisted	Required Documentation
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons living on the street	For projects providing services (e.g., outreach, food, health care, clothing to persons who reside on the streets (but not in shelters or other places meant for human habitation), are there certifications signed and dated by staff that: <ul style="list-style-type: none"> verifies that the services are going to homeless persons, and indicates where the persons served reside
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons coming from living on the street and into a place meant for human habitation	Was a statement signed and dated verifying provided that person is coming from the street through: <ul style="list-style-type: none"> organizations or outreach workers who have assisted him/her in the past; determining where the resident receives assistance checks, if applicable; and/or other information regarding the participant's recent past activities? <p>If staff is unable to verify in this manner that the person is coming from living on the street, were written, signed and dated statement prepared about the participant's previous living place?</p>
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons coming from an emergency shelter	Did subrecipient obtain from the referring agency a written, signed, and dated verification that the individual has been a resident of the emergency shelter?

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons coming from a transitional housing	<p>Did subrecipient obtain from the referring agency two written, signed, and dated verifications:</p> <ol style="list-style-type: none"> 1) a signed statement from the transitional housing staff indicating that the individual had been a resident there; and 2) the referring agency's written, signed, and dated verification as to the individual's homeless status when he/she entered their program? <p>If the referring agency did not verify the individual's homeless status upon entry into their program, did subrecipient verify that status? That is, in addition to the written, signed, and dated verification from the referring agency that the individual has been residing in the transitional housing, did subrecipient verify their status upon entry into transitional housing and document that status?.</p>
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons being evicted from a private dwelling	<p>Did the subrecipient:</p> <ul style="list-style-type: none"> ▪ Document: the income of the participant; what efforts were made to obtain housing; and why, without the homeless assistance, the participant would be living on the street or in an emergency shelter. ▪ Documentation of one of the following: <ul style="list-style-type: none"> ✓ For formal eviction proceedings, evidence that the participant was being evicted within the week before receiving homeless assistance; ✓ Where a participant's family is evicting, a signed and dated statement from a family member describing the reason for the eviction; ▪ Where there is no formal eviction process (in these cases, persons are considered evicted when they are forced out of the dwelling unit by circumstances beyond their control), the subrecipient secure: <ul style="list-style-type: none"> ✓ a signed and dated statement from the participant describing the situation; and ✓ documentation and verification (through written, signed, and dated statements) of efforts to confirm that these circumstances are true.
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons from a short term stay (up to 30 consecutive days) in an institution who previously resided on the street or in an emergency shelter	<p>Did the subrecipient obtain:</p> <ul style="list-style-type: none"> ▪ written verification from the institution's staff that the participant has been residing in the institution for less than 31 days; and ▪ information on the previous living situation. Preferably, this will be the institution's written, signed, and dated verification on the individual's homeless status when he/she entered the institution. If the institution's staff did not verify the individual's homeless status upon entry into the institution, did subrecipient verify that status (i.e., if the person was living on the streets before moving into the institution, subrecipient is to obtain the documentation required under "Persons coming from living on the street").
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons being discharged from a longer stay in an institution	<p>Did subrecipient obtain signed and dated:</p> <ul style="list-style-type: none"> ▪ evidence from the institution's staff that the participant was being discharged within the week before receiving homeless assistance; and ▪ documentation of the following: <ul style="list-style-type: none"> ✓ the income of the participant; ✓ what efforts were made to obtain housing; and ✓ why, without the homeless assistance, the participant would be living on the street or in an

		emergency shelter.
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Persons fleeing domestic violence	Did subrecipient obtain written, signed, and dated verification from the participant that he/she is fleeing a domestic violence situation? If the participant is unable to prepare the verification, did subrecipient prepare a written statement about the participant's previous living situation and have the participant sign and date it?
ESG Beneficiaries		
Yes NO NA	Did the subrecipient meet the following minimum eligibility criteria for ESG beneficiaries	Comments
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	For essential services related to street outreach, beneficiaries must meet the criteria under paragraph (1)(i) of the "homeless" definition under § 576.2: "An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground".	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	For emergency shelter, beneficiaries must meet the "homeless" definition in 24 CFR 576.2	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	For essential services related to emergency shelter, beneficiaries must be "homeless" and staying in an emergency shelter, which could include a day shelter.	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	For homelessness prevention assistance, beneficiaries must meet the requirements described in 24 CFR 576.103 provided to individuals and families who meet the criteria under "At Risk of Homelessness", and who have an annual income below 30% of the median family income for the area.	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	For rapid re-housing assistance, beneficiaries must meet requirements described in 24 CFR 576.104; that is, meet the criteria under paragraph (1) of the "homeless" definition in 24 CFR 576.2: "An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground;" or who meet the criteria under paragraph (4) of the "homeless" definition and live in an	

	emergency shelter or other place – “Any individual or family who: (i) Is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual’s or family’s primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence; (ii) Has no other residence; and (iii) Lacks the resources or support networks, e.g., family, friends, faith based or other social networks, to obtain other permanent housing described in paragraph (1) of the “homeless” definition”	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Did the subrecipient re-evaluate program participants’ eligibility and the types and amounts of assistance once every 3 months for homelessness prevention and not less than once annually for rapid re-housing assistance?	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Did the subrecipient re-evaluate program participants’ eligibility and the types and amounts of assistance once every 3 months for homelessness prevention and not less than once annually for rapid re-housing assistance?	
	For projects funding homeless prevention activities, are the beneficiaries low-income individuals or families at imminent risk of losing their housing due to a notice of eviction, foreclosure, or utility termination? [McKinney-Vento Act, 42 USC 11374(a)(4)]	
	If “yes,” do the files show that the (a) beneficiaries’ assistance is necessary, (b) due to a sudden loss of income, (c) the beneficiaries are able to resume payments in a reasonable time period, and (d) there are no similar funds available locally? [McKinney-Vento Act, 42 USC 11374(a)(4)]	
	Are the homeless prevention funds defined as short term assistance (described in question 3 above); security deposits or first month’s rent; landlord-tenant mediation; indigent tenant legal services; or other innovative homeless prevention? [24 CFR 576.3, Definitions: Homeless Prevention]	

	Does assistance meet the definition of "innovative?" (Describe nature of assistance in response below.) [24 CFR 576.3, Definitions: Homeless Prevention]			
ESG Match Requirements				
ESG Match (List each source of match separately)		Action Plan Amount Pledged	CAPER Amount Shown	Final Documented Match
CASH/GOV'T. GRANTS				
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
NON-CASH CONTRIBUTIONS				
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
		\$	\$	\$
TOTAL MATCH		\$	\$	\$
Yes	No	NA	Requirement	Comments
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Does the subrecipient's final documented match shown above equal or exceed the ESG grant amount? (24 CFR 576.201)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Are the documented match sources eligible forms of match expended within the grant year? (24 CFR 576.201)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is the documented match above consistent with the amount shown in the quarterly subrecipient reports?	
Yes	No	NA	Record-Keeping Systems	Comments
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Filing System. Are the subrecipient's files orderly, comprehensive, secured for confidentiality where necessary, and up-to-date? Note any areas of deficiency.	

<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			Documentation (confidentiality). Do the ESG project files and subrecipient records have the necessary documentation written records or files pertaining to families under lock and key with only particular personnel granted access to those files? ESG subrecipients are to develop and implement procedures to guarantee the confidentiality of records concerning project participants and ensure that the address and location of family violence shelter facilities receiving ESG funding are not publicly disclosed except with the written authorization of the person(s) responsible for the shelter facility's operation.	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			Record Retention. Participation of Homeless Persons in Policy-making and Operations. Are there records evidencing how the subrecipient encourages the participation of homeless persons in projects	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			Documentation (Evidence of homelessness and termination procedures). Does the subrecipient maintain adequate documentation to determine the eligibility of persons served by HUD's homeless assistance programs, and that the termination provision is correctly applied for any individual or family terminated or violating program requirements. records are maintained for a 4-year period.	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			Record Retention. Is there a process for determining which records need to be retained and for how long?	
Yes	No	NA	Financial Management Systems (84.21–28) Requirements	Comments
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			Does the subrecipient have written procedures covering the recording of transactions, an accounting manual and a chart of accounts? Areas for possible sampling: ➤ Is there an organization chart describing actual lines of responsibility	

			<ul style="list-style-type: none"> ➤ Are key employee duties defined ➤ Is the chart of accounts inclusive of account numbers to support the control needed to ensure resources used do not exceed resources authorized ➤ Do the internal control procedures support the subrecipients ability to prepare financial statements: 	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If the grantee has a written policy manual, does it provide guidelines for controlling expenditures, such as purchasing requirements and travel authorizations?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Are systems in compliance with accounting policies and procedures for cash, real and personal property, equipment and other assets (85.20(b)(3) and 84.20(b)(3))?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Review the chart of accounts, journals, ledgers, reconciliation, data processing, and reporting system. Areas for possible sampling: <ul style="list-style-type: none"> ➤ Does subrecipient record an encumbrance/obligation when executing contracts, purchase orders or maintain readily accessible information on obligations ➤ Are expenditures supported for instance by invoices, contracts or purchase orders ➤ Are expenditures identified with ESG source 	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has all cash been promptly drawn down and deposited? Are all drawdowns of Federal funds properly recorded?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has an audit been prepared for the subrecipient? Determine if the subrecipient has expended \$500,000 or more in Federal funds for the subject program year. (OMB Circular A-133)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If an IPA was prepared were there any findings related to ESG activity?	
Yes	No	NA	Insurance Requirements	Comments
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the subrecipient submitted a current copy of	

			its Certificate of Insurance?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Is the City named as an additional insured?	
Yes	No	NA	Procurement Requirements	Comments
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Do the procedures the subrecipient uses for procurement of goods and services meet requirements at 24 CFR Part 84? Review a sample number of procurements.	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	How does the subrecipient assure there was no conflict of interest, real or apparent?	
Yes	No	NA	Procurement Requirements	Comments
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has the subrecipient purchased equipment with ESG funds in excess of \$1,000? Does the subrecipient maintain the records required at 84.34?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Has a physical inventory taken place and the results reconciled with property records within the last two years?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<p>If the subrecipient disposed of equipment/property that was purchased with Federal funds within the last five years:</p> <ul style="list-style-type: none"> Were proceeds from the sale reported as program income? 	
Yes	No	NA	General Requirements	Comments
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Equal Employment Opportunity. Does the subrecipient make it known that facilities and services supported by this grant are available to any person (who otherwise meets the eligible criteria for the program) without discrimination on the basis of race, color, religion, sex, marital status, national origin, familial status, disability, age or creed? Note any deficiencies.	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Section 3. Opportunities for Training and Employment for Local Residents – Refer to City Section 3 Protocols. Note any deficiencies.	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Requirements for Disabled Persons. Refer to	

	EEO section above and note any concerns.	
<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Women and Minority Business Enterprises. Refer to OMB 84.44, affirmative steps documentation. Note any concerns.	
I. Conclusion and Follow-up		
Prepared by City of Garden Grove, Community Development Department, Neighborhood Improvement Division:		
Date	Signature	Title
Date	Signature	Title

Is the number of beneficiaries currently being served consistent with the service number in the approved Action Plan for the program year? [24 CFR 91.220(d)]	<input type="checkbox"/> <input type="checkbox"/> Yes No
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2.

Per the ESG Desk Guide, Section 6.2, is the IDIS drawdown rate consistent with the projected point-in-time expenditures for all projects reviewed during the grant term? (For example, if the project is in Year 1 of the maximum two-year term, the grantee should have expended all of its rehabilitation and one-half of any operations, supportive services, any homeless prevention, and administrative costs.)	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
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3.

For the program year, has the grantee spent no more than 30% of its ESG grant for supportive services, unless a grantee had requested and received a waiver from HUD? [24 CFR 576.21(a)(2) and McKinney-Vento Act, 42 USC 11374]	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
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4.

For the program year, has the grantee spent no more than 30% of its ESG grant for homeless prevention and other short-term financial assistance to prevent homelessness? [24 CFR 576.21(c), 24 CFR 576.3 and McKinney-Vento Act, 42 USC 11374]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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5.

For the program year, has the grantee spent no more than 10% of its ESG grant for operations for management staff costs? [24 CFR 576.21(a)(3)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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6.

For the program year, has the grantee spent no more than 5% of its ESG grant for grant administration costs? [24 CFR 576.21(a)(5); McKinney-Vento Act, 42 USC 11378]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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7.

For completed program years reviewed, has the grantee spent all of its ESG funds within 24 months of grant award? [24 CFR 576.35]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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Essential Services

For ESG service activities, are the services new, or quantifiable increases in the service levels, provided by the local government with local funds within the last year before the initial ESG grant? [24 CFR 576.21(b)(1)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
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2.

Do the projects reviewed with both completed and underway activities demonstrate that beneficiaries receive, or were referred to, appropriate supportive services, access to mainstream resources, and other services needed to achieve independent living? [24 CFR 576.56(a)(1)]	<input type="checkbox"/> <input type="checkbox"/> Yes No
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Homeless Prevention

For projects funding homeless prevention activities, are the beneficiaries low-income individuals or families at imminent risk of losing their housing due to a notice of eviction, foreclosure, or utility termination? [McKinney-Vento Act, 42 USC 11374(a)(4)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
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4.

If the answer to question 3 above is “yes,” do the files show that the (a) beneficiaries’ assistance is necessary, (b) due to a sudden loss of income, (c) the beneficiaries are able to resume payments in a reasonable time period, and (d) there are no similar funds available locally? [McKinney-Vento Act, 42 USC 11374(a)(4)]	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
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5.

Does the total amount of homeless prevention funds spent by the grantee for the program year fall at or below the 30 percent limitation for this expenditure category? [McKinney-Vento Act, 42 USC 11374(a)(4)]	<input type="checkbox"/> <input type="checkbox"/> Yes No
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6.

<p>Are the homeless prevention funds defined as short term assistance (described in question 3 above); security deposits or first month's rent; landlord-tenant mediation; indigent tenant legal services; or other innovative homeless prevention? [24 CFR 576.3, Definitions: Homeless Prevention]</p>	<div> <input type="checkbox"/> <input type="checkbox"/> </div> <div> Yes No </div>
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7.

<p>If the grantee funded innovative homeless prevention activities, does assistance meet the definition of "innovative?" (Describe nature of assistance in response below.) [24 CFR 576.3, Definitions: Homeless Prevention]</p>	<div> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </div> <div> Yes No N/A </div>
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Beneficiary Services

Complete the table below using the information from the selected beneficiary sample. (Add more lines or attach another sheet, if needed.)				
NAME (if appropriate)	CASE NUMBER	ADDRESS	FORMER (F) OR CURRENT (C) BENEFICIARY?	ENTRY DATE

2.

For homeless assistance activities, does a review of the beneficiary files adequately document that the individuals or families were homeless prior to residency? [McKinney-Vento Act, 42 USC 11302(a)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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3.

For homeless prevention activities , are the individuals or families facing eviction or utility shutoffs, or in need of financial or legal services, eligible for assistance? (By HUD definition, prevention activities occur before persons become homeless.) [McKinney-Vento Act, 42 USC 11374(a)(4) and 24 CFR 576.21(a)(4)]	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
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4.

Is there at least one homeless person or formerly homeless person participating in the policy decision-making process regarding projects receiving ESG funds? [McKinney Act, 42 USC 11375(d) and 24 CFR 576.56(b)(1)]	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No

5.

Are homeless persons, to the extent possible, involved in project development, operations and the provision of supportive services? [McKinney Act, 42 USC 11375(c) and 24 CFR 576.56(b)(2)]	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No

6.

For projects serving domestic violence victims, is there evidence to support that the grantee has established written procedures regarding confidentiality of client records and the address/location of any project serving domestic violence victims? [McKinney-Vento Act, 42 USC 11375(c) and 24 CFR 576.56(a)(2)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

7.

(a) Does the grantee have a written policy for the termination of beneficiaries? [McKinney-Vento Act, 42 USC 11375(e) and 24 CFR 576.56(a)(3)]	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No

(b) If no written guidance is available, interview staff to determine how terminations are handled.

(c) If beneficiaries have been terminated during the program year under review, does a file review indicate that the minimum due process requirements for termination (and, if applicable, the established policy guidance) were followed? [McKinney-Vento Act, 42 USC 11375(e) and 24 CFR 576.56(a)(3)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

Match Matrix

In completing the table below, the HUD reviewer should use the Consolidated Annual Performance and Evaluation Report (CAPER) as a basis to review documentation from the grantee or recipient to determine the amount of cash and in-kind resources brought to the grant.

Grant Number:		ESG Allocation: \$	
ESG Match (List each source of match separately)	Action Plan Amount Pledged	CAPER Amount Shown	Final Documented Match
CASH/GOVN'T. GRANTS			
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
IN-KIND/SALARIES			
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
VOLUNTEERS (@\$5/hour)			
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
	\$	\$	\$
TOTAL MATCH	\$	\$	\$

2.

Does the grantee's final documented match shown in question 1 above equal or exceed the ESG grant amount? [24 CFR 576.51 and 24 CFR 91.225(c)(6)]	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No

3.

Is the documented match shown in question 1 above consistent with the amount shown in the CAPER? [24 CFR 576.51 and 24 CFR 91.225(c)(6)]	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No

4.

If the <u>state government</u> grantee claims the \$100,000 match exclusion, did it provide documentation of benefit for those subgrantee recipients least able to pay? [24 CFR 576.51 and 24 CFR 91.225(c)(6)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

General Requirements

- **Uniform Administrative Requirement.** ESG regulations at 24 CFR 576.407(c) require the governmental agencies apply 24 CFR Part 85, except for 24 CFR 85.24 and 85.42, and program income is to be used as match under 24 CFR 85.25 (g). The requirements of 24 CFR Part 84 apply to Private Nonprofit subrecipients, except for 24 CFR 84.23 and 84.53, and program income is to be used as the non-Federal share under 24 CFR 84.24 (b).
- **Homeless Participation.** Under 24 CFR 576.405 the City is ensure subrecipients provide for the participation of not less than one homeless individual or formerly homeless individual on the Board of Directors or other equivalent policy-making entity, to the extent that the entity considers and makes policies and decisions regarding any facilities, services or other assistance that receives funding under ESG.
- **Program Termination.** The City will review the termination/denial policy in each subrecipient's Written Standards to verify that the following minimal components are included: a progressive discipline warning system, written notices, a formal appeal process, and consideration of the appeal by someone not involved in the original termination. Staff will also monitor each subrecipient's compliance with ESG regulations at 24 CFR 576.402 to ascertain whether persons or families receiving assistance who violate program requirements are terminated only in the most severe cases. The

subrecipient is required to terminate assistance in accordance with a formal process that has been established and that recognizes the rights of individuals or families affected.

City staff will monitor compliance with the following area-wide systems coordination requirements pursuant to 24 CFR 576.400.

- **Consultation with CoCs.** Staff will assist subrecipients are to consult with the CoC to (1) determine how ESG funds will be allocated in that region; (2) identify the performance standards for evaluating the outcomes of projects and activities; and (3) identify the funding, policies and procedures for the administration and operation of the HMIS, if appropriate
- **Coordination with Other Targeted Homeless Services.** City staff will monitor subrecipients to verify that other programs are targeted to homeless people in the area covered by the CoC to provide a strategic, community-wide system to prevent and end homelessness for that area.
- **System and Program Coordination with Mainstream Resources.** What steps has your agency taken to coordinate and integrate ESG-funded activities with mainstream housing, health, social services, employment, education, and youth programs for which families and individuals at risk of homelessness and homeless individuals and families may be eligible.
- **Centralized or Coordinated Assessment.** Describe how your agency has worked with the CoC to ensure the screening, assessment and referral of participants are consistent with the Written Standards. A Victim Service Provider may choose not to use the CoC Centralized or Coordinated Assessment System.
- **Written Standards** .Once the CoC has developed Written Standards in accordance with the requirements outlined in 24 CFR 576.400(e)(2)(3), Each subrecipient is to use the CoC's Provide a copy of your agency's Written Standards established and applied for providing ESG assistance
- **Participation in HMIS.** The subrecipient is to ensure that data on all persons served and all activities assisted under ESG are entered into the applicable community-wide HMIS in the area in which those persons and activities are located, or a comparable database in accordance with HUD's standards on participation, data collection and reporting under a local HMIS. If the subrecipient is a Victim Service Provider or a Legal Services Provider, it may use a comparable database that collects client level data over time (i.e., longitudinal data) and generates unduplicated aggregate reports based on the data. Information entered into a comparable database must not be entered directly into or provided to an HMIS.

City staff will monitor each subrecipient's compliance with other federal and state requirements set forth at 24 CFR 576.406-576.408.

- Per 24 CFR 576.407(a), the subrecipient is to adhere to the requirements in 24 CFR Part 5, Subpart A, including the nondiscrimination and equal opportunity requirements at 24 CFR 5.105(a). Section 3 of the Housing and Urban Development Act of 1968, 12 U.S.C. 41701u, and implementing regulations at 24 CFR Part 135 apply, except that homeless individuals have priority over other Section 3 residents in accordance with 24 CFR 576.405(c).

- **Faith-Based Activities.** Religious organizations may receive ESG funds if agreeable to providing all eligible ESG activities in a manner that is in accordance with 24 CFR 576.406. ESG funds may not be used for the rehabilitation of structures if those structures are used for inherently religious activities. Where a structure is used for both eligible and inherently religious activities, funds may not exceed the cost of those portions of the rehabilitation that are attributable to eligible activities in accordance with the federal cost accounting requirements. Sanctuaries, chapels, or other rooms the religious congregation uses as its principal place of worship are ineligible for ESG-funded improvements. Disposition of real property after the term of the grant, or any change in use of the property during the term of the grant, is subject to government-wide regulations governing real property disposition (See 24 CFR Parts 84 and 85).

- Organizations that are religious or faith-based are eligible to receive ESG funds but may not engage in inherently religious activities, such as worship, religious instruction, or proselytization as part of the programs or services funded under ESG. Refer to 24 CFR 576.406 for additional details.

- **Affirmative Outreach System and Program Coordination with Mainstream Resources.** What steps has your agency taken to coordinate and integrate ESG-funded activities with mainstream housing, health, social services, employment, education, and youth programs for which families and individuals at risk of homelessness and homeless individuals and families may be eligible.

- **Centralized or Coordinated Assessment.** Describe how your agency has worked with the CoC to ensure the screening, assessment and referral of participants are consistent with the Written Standards. A Victim Service Provider may choose not to use the CoC Centralized or Coordinated Assessment System.

- **Written Standards** .Once the CoC has developed Written Standards in accordance with the requirements outlined in 24 CFR 576.400(e)(2)(3), Each subrecipient is to use the CoC's Provide a copy of your agency's Written Standards established and applied for providing ESG assistance
-

- **Displacement, Relocation, and Acquisition.** In accordance with 24 CFR 576.408, the displacement of persons as a result of a Components/Activities assisted with ESG funds must be provided Relocation Assistance pursuant to the URA and 49 CFR Part 24. Temporary relocation is not permitted. No tenant occupant of housing (a dwelling unit) that is converted into an Emergency Shelter may be required to relocate temporarily for a Component/Activity assisted with ESG funds or be required to move to another unit in the same building/complex. The acquisition of real property, whether funded privately or publicly, for a Component/Activity assisted with ESG funds is subject to the URA and the federal government-wide regulations at 49 CFR Part 24, Subpart B. Refer to 24 CFR 576.408 for additional details.

- **Match.** City staff will monitor matching contributions from each subrecipient to verify that the amount of match equals the amount of ESG funds received per 24 CFR 576.201, and that the match sources include any federal source other than the ESG Program, as well as State, local, and private sources (see 24 CFR 576.201).

- **Shelter and Housing Standards.** City staff will require per 24 CFR 576.403 that any ESG-assisted shelter to meet minimum Habitability Standards. Shelters renovated with ESG funds, are to meet State or local government Safety and Sanitation Standards, as applicable, include energy-efficient appliances and materials, as well as incorporate lead-based paint remediation and disclosure requirements.

- **Recordkeeping and Reporting Requirements.** Submit a copy of the written policies and procedures your agency has developed to ensure that ESG funds are used in accordance with requirements at 24 CFR 576.500. In addition, sufficient records must be established and maintained to enable HCD and HUD to determine whether ESG requirements are being met. Refer to for additional details. (24 CFR 576.500):
 - ✓ **Homeless status.** Follow written intake procedures to ensure compliance with the homeless definition in § [576.2](#). The procedures must require documentation at intake of the evidence relied upon to establish and verify homeless status.
 - ✓ **At risk of homelessness status.** For each individual or family who receives ESG homelessness prevention assistance, the records must include the evidence relied upon to establish and verify the individual or family's "at risk of homelessness" status. This evidence must include an intake and certification form that meets HUD specifications.
 - ✓ **Determinations of ineligibility.** For each individual and family determined ineligible to receive ESG assistance, the record must include documentation of the reason for that determination.
 - ✓ **Annual income.** For each program participant who receives homelessness prevention assistance, or who receives rapid re-housing assistance longer than one year
 - Income evaluation form completed by the subrecipient; and
 - Source documents for the assets held by the program participant and income received over the most recent period (e.g., wage statement, unemployment compensation statement, public benefits statement, bank statement);

- If source documents are unobtainable, a written statement by the relevant third party (e.g., employer, government benefits administrator) or the written certification by the subrecipient's intake staff of the oral verification by the relevant third party of the income the program participant received over the most recent period for which representative data is available; or
- If source documents and third party verification are unobtainable, the written certification by the program participant of the amount of income the program participant received for the most recent period representative of the income that the program participant is expected to receive over the 3-month period following the evaluation.
- ✓ **Program participant records.** In addition to evidence of homeless status or "at risk of homelessness" status, as applicable, records must be kept for each program participant that document:
 - The services and assistance provided to program participant, including the security deposit, rental assistance, and utility payments made on behalf of the program participant;
 - Compliance with the applicable requirements for providing services and assistance to t program participant under the program components and eligible activities provisions at § [576.101](#) through § [576.106](#), the provision on determining eligibility and amount and type of assistance at § [576.401\(a\) and \(b\)](#), and the provision on using appropriate assistance and services at § [576.401\(d\) and \(e\)](#); and
 - Where applicable, compliance with the termination of assistance requirement in § [576.402](#).
- ✓ **Centralized or coordinated assessment systems and procedures.** Documentation evidencing written intake procedures for, the centralized or coordinated assessment system(s) developed by the CoC.
- ✓ **Rental assistance agreements and payments.** The records must include copies of all leases and rental assistance agreements for the provision of rental assistance, documentation of payments made to owners for the provision of rental assistance, and supporting documentation for these payments, including dates of occupancy by program participants.
- ✓ **Utility allowance.** The records must document the monthly allowance for utilities (excluding telephone) used to determine compliance with the rent restriction.
- ✓ **Shelter and housing standards.** Documentation of compliance with the shelter and housing standards in § [576.403](#), including inspection reports.
- ✓ **Emergency shelter facilities.** The amount and type of assistance provided to each emergency shelter.
- ✓ **Services and assistance provided.** Types of essential services, rental assistance, and housing stabilization and relocation services and the amounts spent on these services and assistance. Subrecipients that are units of general-purpose local government must keep records to demonstrate compliance with the maintenance of effort requirement, including records of the unit of the general-purpose local government's annual budgets and sources of funding for street outreach and emergency shelter services.
- ✓ **Coordination with CoC and other programs.** Document their compliance with the requirements of § [576.400](#) for consulting with the CoC and coordinating and integrating ESG assistance with programs targeted toward homeless people and mainstream service and assistance programs.

- ✓ **HMIS.** Records of the participation in HMIS or a comparable database by all projects.
- ✓ **Matching.** The recipient must keep records of the source and use of contributions made to satisfy the matching requirement in § [576.201](#). The records must indicate the particular fiscal year grant for which each matching contribution is counted. The records must show how the value placed on third party, noncash contributions was derived. To the extent feasible, volunteer services must be supported by the same methods that the organization uses to support the allocation of regular personnel costs.
- ✓ **Conflicts of interest.** Records to show compliance with the organizational conflicts-of-interest requirements in § [576.404\(a\)](#), a copy of the personal conflicts of interest policy or codes of conduct developed and implemented to comply with the requirements in § [576.404\(b\)](#), and records supporting exceptions to the personal conflicts of interest prohibitions.
- ✓ **Homeless participation.** Document compliance with the homeless participation requirements under § [576.405](#).
- ✓ **Faith-based activities.** Document compliance with the faith-based activities requirements under § [576.406](#).
- ✓ **Other Federal requirements.** Document compliance with the Federal requirements in § [576.407](#), as applicable, including:
 - Records demonstrating compliance with the nondiscrimination and equal opportunity requirements under § [576.407\(a\)](#), including data concerning race, ethnicity, disability status, sex, and family characteristics of persons and households who are applicants for, or program participants in, any program or activity funded in whole or in part with ESG funds and the affirmative outreach requirements in § [576.407\(b\)](#).
 - Records demonstrating compliance with the uniform administrative requirements in 24 CFR part [85](#) (for governments) and 24 CFR part [84](#) (for nonprofit organizations).
 - Records demonstrating compliance with the environmental review requirements, including flood insurance requirements.
 - Certifications and disclosure forms required under the lobbying and disclosure requirements in 24 CFR part [87](#).
- ✓ **Relocation.** Document compliance with the displacement, relocation, and acquisition requirements in § [576.408](#).
- ✓ **Financial records.**
 - Supportive documentation for all costs charged to the ESG grant.
 - Documentation showing that ESG grant funds were spent on allowable costs in accordance with the requirements for eligible activities under § [576.101](#)-[576.109](#) and the cost principles in OMB Circulars A-87 (2 CFR part [225](#)) and A-122 (2 CFR part [230](#)).
 - Records of the receipt and use of program income.
 - Documentation of compliance with the expenditure limits in § [576.100](#) and the expenditure deadline in § [576.203](#).
- ✓ **Subrecipients and contractors.**
 - The recipient must retain copies of all solicitations of and agreements with subrecipients, records of all payment requests by and dates of payments made to subrecipients, and documentation of all monitoring and sanctions of subrecipients, as applicable. If the recipient is a State, the recipient must keep records of each recapture and distribution of recaptured funds under § [576.501](#).

- The recipient and its subrecipients must retain copies of all procurement contracts and documentation of compliance with the procurement requirements in 24 CFR [85.36](#) and 24 CFR 84.40-84.48.
- The recipient must ensure that its subrecipients comply with the recordkeeping requirements specified by the recipient and HUD notice or regulations.
- ✓ **Confidentiality.**
 - Written procedures to ensure:
 - ☐ All records containing personally identifying information of any individual or family who applies for and/or receives ESG assistance will be kept secure and confidential;
 - ☐ The address or location of any domestic violence, dating violence, sexual assault, or stalking shelter project assisted under the ESG will not be made public, except with written authorization of the person responsible for the operation of the shelter; and
 - ☐ The address or location of any housing of a program participant will not be made public, except as provided under a preexisting privacy policy of the recipient or subrecipient and consistent with state and local laws regarding privacy and obligations of confidentiality.
 - ☐ Written confidentiality procedures.
- ✓ **Period of record retention.** All records pertaining to each fiscal year of ESG funds must be retained for the greater of 5 years or the period specified below.
 - ☐ Documentation of each program participant's qualification as a family or individual at risk of homelessness or as a homeless family or individual and other program participant records must be retained for 5 years after the expenditure of all funds from the grant under which the program participant was served;
 - ☐ Where ESG funds are used for the renovation of an emergency shelter involves costs charged to the ESG grant that exceed 75 percent of the value of the building before renovation, records must be retained until 10 years after the date that ESG funds are first obligated for the renovation; and
 - ☐ Where ESG funds are used to convert a building into an emergency shelter and the costs charged to the ESG grant for the conversion exceed 75 percent of the value of the building after conversion, records must be retained until 10 years after the date that ESG funds are first obligated for the conversion.
- ✓ **Access to records.**
 - **Federal government rights.** Notwithstanding the confidentiality procedures established under paragraph (w) of this section, HUD, the HUD Office of the Inspector General, and the Comptroller General of the United States, or any of their authorized representatives, must have the right of access to all books, documents, papers, or other records pertinent to the ESG grant, in order to make audits, examinations, excerpts, and transcripts. These rights of access are not limited to the required retention period but last as long as the records are retained.

- **Public rights.** Provide citizens, public agencies, and other interested parties with reasonable access (consistent with state and local laws regarding privacy and obligations of confidentiality and the confidentiality requirements in this part) to records regarding any uses of ESG funds the recipient received during the preceding 5 years.
- **Reports.** The recipient must collect and report data on its use of ESG funds in the Integrated Disbursement and Information System (IDIS) and other reporting systems, as specified by HUD. The recipient must also comply with the reporting requirements in 24 CFR parts [85](#) and [91](#) and the reporting requirements under the Federal Funding Accountability and Transparency Act of 2006, ([31 U.S.C. 6101 note](#)), which are set forth in appendix A to 2 CFR part [170](#).